

MiFID Top Venues 2023 – SCOBAG

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity band 1 and 2 (from 0 to 79 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 61% | 10% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 3 and 4 (from 80 to 1,999 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 34% | 23% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 5 and 6 (from 2,000 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 44% | 55% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange USD XSWX | 42% | 96% | 82% | 18% | N/A |
| SIX Swiss Exchange XSWX | 34% | 4.0% | 3.5% | 93% | N/A |
| SIX Swiss Exchange EUR XSWX | 18% | 0.0% | 89% | 11% | N/A |
| SIX Swiss Exchange GBP XSWX | 4.2% | 0.2% | N/A | 98% | N/A |
| SIX Swiss Exchange Other Currencies XSWX | 1.7% | 0.2% | 3.8% | 94% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Debt instruments - Bonds |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 37% | 47% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Other instruments |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 62% | 33% | N/A | 100% | N/A |
| SIX Swiss Exchange USD XSWX | 38% | 67% | N/A | 100% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

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|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Securitized Derivatives – Warrants and Certificate Derivatives |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | N/A | 100% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Retail |
| Class of instrument | Currency derivatives – Swaps, forwards, and other currency derivatives |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Schroder & Co. Bank AG 1N66B6IZ3PPGHI6ZZQ73 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity band 1 and 2 (from 0 to 79 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 62% | 10% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 3 and 4 (from 80 to 1,999 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 53% | 34% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 5 and 6 (from 2,000 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 44% | 56% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 67% | 4.5% | N/A | 98% | N/A |
| SIX Swiss Exchange USD XSWX | 29% | 95% | 92% | 7.4% | N/A |
| SIX Swiss Exchange EUR XSWX | 2.7% | 0.0% | 33% | 67% | N/A |
| SIX Swiss Exchange GBP XSWX | 0.7% | 0.0% | N/A | 100% | N/A |
| SIX Swiss Exchange Other Currencies XSWX | 0.2% | 0.0% | N/A | 100% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Debt instruments - Bonds |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | 4.8% | 52% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Other instruments |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | N/A | 100% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Securitized Derivatives – Warrants and Certificate Derivatives |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| SIX Swiss Exchange XSWX | 100% | 100% | N/A | 100% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Venue |
| MiFID client category | Professional |
| Class of instrument | Currency derivatives – Swaps, forwards, and other currency derivatives |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Schroder & Co. Bank AG 1N66B6IZ3PPGHI6ZZQ73 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depository Receipts – Tick size liquidity band 1 and 2 (from 0 to 79 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 87% | 92% | 26% | 41% | N/A |
| Macquarie Bank Ltd 549300GX4FPMFF91RJ37 | 3.8% | 3.0% | 9.8% | 4.9% | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 1.7% | 2.2% | 42% | 60% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 1.5% | 1.1% | 29% | 85% | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 1.4% | 0.7% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 3 and 4 (from 80 to 1,999 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 73% | 72% | 9.7% | 37% | N/A |
| Jefferies Int.Ltd London S5THZMDUJCTQZBTRVI98 | 16% | 16% | N/A | N/A | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 7.6% | 2.5% | 68% | 83% | N/A |
| Macquarie Bank Ltd 549300GX4FPMFF91RJ37 | 1.2% | 8.7% | 21% | 23% | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 1.1% | 0.3% | 90% | 20% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Equities – Shares & Depository Receipts – Tick size liquidity bands 5 and 6 (from 2,000 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 39% | 50% | 17% | 38% | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 34% | 27% | 18% | 94% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 19% | 8.6% | 19% | 88% | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 5.4% | 12% | 94% | 84% | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 1.5% | 0.5% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Equity Derivatives - Options and Futures admitted to trading on a trading venue |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| UBS AG Opfikon 549300WOIFUSNYH0FL22 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 43% | 17% | 9.6% | 87% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 19% | 9.8% | 15% | 84% | N/A |
| Jane Street Financial Ltd 549300ZHEHX8M31RP142 | 9.9% | 53% | N/A | N/A | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 9.1% | 4.9% | 89% | 11% | N/A |
| Optiver Vof 7245009KRY SAYB2QCC29 | 7.6% | 6.6% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Commodities Derivatives – Options and Futures admitted to trading on a trading venue |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| UBS AG Opfikon 549300WOIFUSNYH0FL22 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Debt instruments – Bonds |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Goldmann Sachs London W22LROWP2IHZNBB6K528 | 15% | 11% | N/A | N/A | N/A |
| Citigroup Global Mkts Ltd London XKZZ2JZF41MRHTR1V493 | 15% | 12% | N/A | N/A | N/A |
| Jane Street Financial Ltd 549300ZHEHX8M31RP142 | 9.9% | 15% | N/A | N/A | N/A |
| Deutsche Bank AG Frankfurt 7LTWFZYICNSX8D621K86 | 6.7% | 4.3% | N/A | N/A | N/A |
| Bridport & Cie SA 213800VGFKO4K5IUI20 | 6.6% | 7.1% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Debt instruments – Money markets instruments |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Toronto Dominion London PT3QB789TSUIDF371261 | 89% | 99% | N/A | N/A | N/A |
| Morgan Stanley London 4PQUHN3JPFQFNF3BB653 | 2.8% | 0.1% | N/A | N/A | N/A |
| Citigroup Global Mkts Ltd London XKZZ2JZF41MRHTR1V493 | 2.3% | 0.2% | N/A | N/A | N/A |
| BNP Paribas SA Paris R0MUWSFPU8MPRO8K5P83 | 1.5% | 0.0% | N/A | N/A | N/A |
| Goldmann Sachs London W22LROWP2IHZNBB6K528 | 1.4% | 0.1% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Securitized Derivatives – Other securitized derivatives |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Leonteq Securities AG ML61HP3A4MKTTA1ZB671 | 98% | 97% | N/A | N/A | N/A |
| Kepler Equities (Suisse) SA 549300WZUJONCM3K3B32 | 1.6% | 1.6% | N/A | N/A | N/A |
| Soc.Générale Paris O2RNE8IBXP4R0TD8PU41 | 0.6% | 1.6% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Other instruments |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | 0.0% |
| Payden IE | 17% | 8.6% | N/A | N/A | N/A |
| TA-Various-WW | 9.6% | 26% | N/A | N/A | N/A |
| RWC LU Funds | 7.7% | 3.2% | N/A | N/A | N/A |
| HSBC-Schroder-LU | 6.6% | 0.9% | N/A | N/A | N/A |
| BlueBay Funds | 6.1% | 3.2% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Retail |
| Class of instrument | Securitized Derivatives – Warrants and Certificate Derivatives |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 70% | 33% | 1.0% | 16% | N/A |
| Leonteq Securities AG ML61HP3A4MKTTA1ZB671 | 9.8% | 4.6% | N/A | 3.8% | N/A |
| Soc.Générale Paris O2RNE8IBXP4R0TD8PU41 | 4.3% | 24% | N/A | N/A | N/A |
| Bank Vontobel AG Zuerich 549300L7V4MGECYRM576 | 4.0% | 2.6% | 24% | 38% | N/A |
| Morgan Stanley London 4PQUHN3JPFGFNF3BB653 | 3.6% | 34% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depository Receipts – Tick size liquidity band 1 and 2 (from 0 to 79 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | 0.2% |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 71% | 71% | 34% | 35% | N/A |
| Macquarie Bank Ltd 549300GX4FPMFF91RJ37 | 6.3% | 6.2% | 16% | 6.0% | N/A |
| BTIG Ltd London 213800YZXS7U4QZP6441 | 4.8% | 2.1% | N/A | N/A | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 4.7% | 1.9% | 86% | 29% | N/A |
| Singer Capital Markets Limited 213800ITO7QMNQ9SFG53 | 2.9% | 0.7% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depositary Receipts – Tick size liquidity bands 3 and 4 (from 80 to 1,999 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 82% | 79% | 6.0% | 31% | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 7.9% | 9.9% | 56% | 90% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 3.1% | 2.6% | 69% | 42% | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 2.9% | 0.7% | N/A | N/A | N/A |
| Canaccord Ltd London ZBU7VVF5NIMN4ILRFC23 | 1.9% | 1.4% | 88% | 63% | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Equities – Shares & Depository Receipts – Tick size liquidity bands 5 and 6 (from 2,000 trades per day) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 34% | 43% | 18% | 32% | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 30% | 33% | 27% | 91% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 22% | 15% | 13% | 88% | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 9.9% | 3.8% | 96% | 73% | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 3.2% | 0.7% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Equity Derivatives - Options and Futures admitted to trading on a trading venue |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| UBS AG Opfikon 549300WOIFUSNYH0FL22 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities) |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Exane Paris 969500UP76J52A9OXU27 | 43% | 19% | 12% | 85% | N/A |
| BNP Paribas SA R0MUWSFPU8MPRO8K5P83 | 25% | 11% | 20% | 79% | N/A |
| Pictet Canada LP Montreal 549300ZW5W660U16FP37 | 10% | 2.5% | 12% | 31% | N/A |
| Canaccord Ltd London ZBU7V5V5NIMN4ILRFC23 | 8.4% | 7.9% | 94% | 8.1% | N/A |
| DRW Europe B.V. 5493005Q760M4WJ8ZP07 | 4.6% | 5.3% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Debt instruments – Bonds |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Citigroup Global Mkts Ltd London XKZZ2JZF41MRHTR1V493 | 17% | 15% | N/A | N/A | N/A |
| Morgan Stanley London 4PQUHN3JPFQFNF3BB653 | 15% | 9.1% | N/A | N/A | N/A |
| Deutsche Bank AG Frankfurt 7LTWFZYICNSX8D621K86 | 12% | 8.6% | N/A | N/A | N/A |
| Jane Street Financial Ltd 549300ZHEHX8M31RP142 | 11% | 14% | N/A | N/A | N/A |
| Goldmann Sachs London W22LROWP2IHZNBB6K528 | 6.8% | 10% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Debt instruments – Money markets instruments |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Citigroup Global Mkts Ltd London XKZZ2JZF41MRHTR1V493 | 35% | 20% | N/A | N/A | N/A |
| Morgan Stanley London 4PQUHN3JPFQFNF3BB653 | 22% | 16% | N/A | N/A | N/A |
| RBC Europe Ltd London TXDSU46SXBWIGJ8G8E98 | 22% | 21% | N/A | N/A | N/A |
| Deutsche Bank AG Frankfurt 7LTWFZYICNSX8D621K86 | 9.8% | 8.2% | N/A | N/A | N/A |
| JPMorgan Sec. London K6Q0W1PS1L1O4IQL9C32 | 6.5% | 4.9% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|---|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Securitized Derivatives – Other securitized derivatives |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| Leonteq Securities AG ML61HP3A4MKTTA1ZB671 | 100% | 100% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|------------------------|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Other instruments |
| Notification if <1 average trade per business day in the previous year | N |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | 0.0% |
| UBS FX and Fonds Zurich 549300WOIFUSNYH0FL22 | 10% | 1.5% | N/A | N/A | N/A |
| BR Institutional Cash Series plc | 8.0% | 2.1% | N/A | N/A | N/A |
| JP Morgan UK Funds DST | 5.1% | 0.1% | N/A | N/A | N/A |
| HSBC-Schroder-LU | 5.0% | 2.8% | N/A | N/A | N/A |
| Liontrust UK Funds BNY | 4.4% | 0.1% | N/A | N/A | N/A |

MiFID Top 5 Venues between 01/01/2023 and 31/12/2023

| | |
|--|--|
| Company | Schroder & Co. Bank AG |
| Execution partner type | Broker |
| MiFID client category | Professional |
| Class of instrument | Securitized Derivatives – Warrants and Certificate Derivatives |
| Notification if <1 average trade per business day in the previous year | Y |

| Top five execution venues ranked in terms of trading volumes (descending order) | Proportion of volume traded as a percentage of total in that class | Proportion of orders executed as percentage of total in that class | Percentage of passive orders | Percentage of aggressive orders | Percentage of directed orders |
|--|---|---|-------------------------------------|--|--------------------------------------|
| Schroder & Co. Bank AG | 100% | 100% | N/A | N/A | N/A |
| UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22 | 46% | 75% | N/A | N/A | N/A |
| Leonteq Securities AG ML61HP3A4MKTTA1ZB671 | 27% | 16% | N/A | 5.3% | N/A |
| Bank Vontobel AG Zuerich 549300L7V4MGECYRM576 | 12% | 0.8% | N/A | 11% | N/A |
| Morgan Stanley London 4PQUHN3JPFGFNF3BB653 | 3.6% | 7.1% | N/A | N/A | N/A |
| Canaccord Ltd London ZBU7V5NIMN4ILRFC23 | 2.1% | 0.1% | 100% | N/A | N/A |