

Top five brokers as per RTS 28 - 2021 Annual Report

Table 1 RETAIL CLIENTS

Class of Instrument		Exchange Traded Products (ETP)			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	1.79	98.21	

Class of Instrument		Equity - Tick-Size / Liquidity Band 5 and 6			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	0.55	99.45	

Class of Instrument		Equity - Tick-Size / Liquidity Band 3 and 4			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	17.44	82.56	

Class of Instrument		Equity - Tick-Size / Liquidity Band 1 and 2			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	3.82	96.18	

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Class of Instrument		Structured Finance Instruments			
Notifications if <1 average trade per business day in the previous year	Y				
Top five brokers ranked in term of trading volumes (descending order)		Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders
Bank J. Safra Sarasin Ltd, Basel		100.00	100.00	0.00	100.00

Class of Instrument		Debt Instruments - Bonds			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)		Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders
Bank J. Safra Sarasin Ltd, Basel		100.00	100.00	5.08	94.92

Class of Instrument		Securitized Derivatives - Warrants and Certificates			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)		Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders
Bank J. Safra Sarasin Ltd, Basel		100.00	100.00	1.88	98.12

Class of Instrument		Securitized Derivatives - Others			
Notifications if <1 average trade per business day in the previous year	Y				
Top five brokers ranked in term of trading volumes (descending order)		Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders
Bank J. Safra Sarasin Ltd, Basel		100.00	100.00	0.00	100.00

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Table 2 PROFESSIONAL CLIENTS

Class of Instrument		Exchange Traded Products (ETP)			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	99.72	99.63	0.31	99.69	

Class of Instrument		Equity - Tick-Size / Liquidity Band 5 and 6			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	6.56	93.44	

Class of Instrument		Equity - Tick-Size / Liquidity Band 3 and 4			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	15.93	84.07	

Class of Instrument		Equity - Tick-Size / Liquidity Band 1 and 2			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	12.00	88.00	

Class of Instrument		Debt Instruments - Bonds			
Notifications if <1 average trade per business day in the previous year	N				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	1.51	98.49	

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Class of Instrument		Securitized Derivatives - Warrants and Certificates			
Notifications if <1 average trade per business day in the previous year	Y				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	100.00	100.00	19.05	80.95	

Class of Instrument		Securitized Derivatives - Others			
Notifications if <1 average trade per business day in the previous year	Y				
Top five brokers ranked in term of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	
Bank J. Safra Sarasin Ltd, Basel	84.01	66.67	0.00	100.00	