

Top five brokers as per RTS 28 - 2019 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	99.57	99.89	2.13	97.87	

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	99.67	99.76	1.18	98.82	

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	99.83	99.64	27.52	72.48	

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	99.52	99.90	8.47	91.53	

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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		99.90	99.75	5.96	94.04

Class of Instrument		Debt Instruments - Money Market 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	100	2.04	97.96

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	100	3.59	96.41

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	100	19.44	80.56

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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	86.5	81.81	0	100	

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	99.61	97.40	1.82	98.18	

Class of Instrument		Equity - Tick-Size / Liquidity Band 3 and 4			
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	96.64	90.91	19	81	

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	98.86	99.64	15.88	84.12	

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	99.92	99.70	2.26	97.74	

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Class of Instrument		Debt Instruments - Money Market 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	100	0	100	

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	100	0	100	