



# Top five brokers as per RTS 28 - 2020 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	99.87	99.99	0.84	99.16

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	99.85	99.98	2.97	97.03

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	16.23	83.77

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	7.03	92.97



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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	100.00	99.98	5.44	94.56	

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	100.00	100.00	9.52	90.48	

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	1.33	98.67	

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	93.49	86.16	0.35	99.65	

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	99.88	98.92	5.46	94.54	

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	98.41	95.83	22.36	77.64	

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	6.29	93.71	



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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	100.00	100.00	3.59	96.41	

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	100.00	100.00	0.00	100.00	

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	0.00	100.00	

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	85.52	66.67	0.00	100.00	