Top 5 Reporting - Baader Bank Asset Management & Services

Period 1.1.2020 - 31.12.2020 Client Category: Professional Clients



PRINTED PRIN	Client Category: Professional Clients	/ BAADE				=R /
Properties Pro	Class of Instrument	Equitie	s - Shares and Dep	ositary Receipt	s without liquitdy b	and
Section Sect	Notification if <1 average trade per business day in the previous year	Proportion of	Proportion of	Y		
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Top Note secution venues ranked in terms of trading volumes (descending order) Sealer Bank Allergoeseloctraft, 1890-00-00-PPEDURENTH3 4,5,2% 4,6,74% 0,04% 0,000		volume traded as	orders executed			
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a percentage of as percentage of Percentage	Notification if <1 average trade per business day in the previous year Top five execution venues ranked in terms of trading volumes (descending order) 22 BANK AG Zentral-Genossenschaftsbank, 529900HNOAA1KXQJUQ27 UBS AG, BFM8T61CT2L1QCEMIK50 Baader Bank Aktiengesellschaft, 529900JFOPPEDUR61H13	Proportion of volume traded as a percentage of total in that class 71,01% 20,18% 8,80%	Proportion of orders executed as percentage of total in that class 11,30% 36,90% 51,80%	Percentage of passive orders N.A. N.A. N.A.	Percentage of aggressive orders N.A. N.A. N.A.	0,009 0,009 0,009
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Notification if <1 average trade per business day in the previous year	Proportion of	Proportion of	Υ		
	volume traded as	orders executed			
op five execution venues ranked in terms of trading volumes (descending order)	a percentage of total in that class	as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage directed orde
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ass of Instrument		Credit Derivativ	es: Other dredit	derivatives	
stification if <1 average trade per business day in the previous year	Proportion of	Proportion of	Υ		
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op five execution venues ranked in terms of trading volumes (descending order)	a percentage of total in that class	as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage directed orde
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ass of Instrument	Currency Derivat	ives: Futures and	Options Admitte	d to Trading on a T	rading Venue
otification if <1 average trade per business day in the previous year	Proportion of	Proportion of	N		
	volume traded as a percentage of	orders executed as percentage of	Percentage of	Percentage of	Percentage of
op five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orde
aader Bank Aktiengesellschaft, 529900JFOPPEDUR61H13	54,01%	79,63%	N.A.	N.A.	0,00
.M.Warburg & CO (AG & Co.) Kommanditgesellschaft auf Aktien, MZI1VDH2BQLFZGLQDO60 SBC Bank PLC, MP6I5ZYZBEU3UXPYFY54	45,55% 0,29%	18,92% 1,20%	N.A.	N.A.	0,00
auck & Aufhauser Privatbankiers KGaA, 529900OOZP78CYPYF471	0,12%	0,17%	N.A.	N.A.	0,00
echtensteinische Landesbank Aktiengesellschaft, 5299000E1FOAM50XLP72	0,02%	0,08%	N.A.	N.A.	0,00
ass of Instrument	Curronay	Parivativas: Swans	forwards and	other currency deri	votivos
otification if <1 average trade per business day in the previous year	Currency	Derivatives. Swaps	Y	other currency deri	vatives
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on five execution varues ranked in terms of trading values and descending sades	a percentage of total in that class	as percentage of	Percentage of	Percentage of	Percentage of
op five execution venues ranked in terms of trading volumes (descending order) 1.M.Warburg & CO (AG & Co.) Kommanditgesellschaft auf Aktien, MZI1VDH2BQLFZGLQDO60	total in that class 48,31%	total in that class 4,83%	passive orders N.A.	aggressive orders N.A.	directed order
lauck & Aufhauser Privatbankiers KGaA, 529900OOZP78CYPYF471	39,45%	51,72%	N.A.	N.A.	0,00
I.M. Warburg & CO Luxembourg S.A., 5299000YBKNGBUB4VF56	9,12%	30,34%	N.A.	N.A.	0,00
SBC Trinkaus & Burkhardt AG, JUNT405OW8OY5GN4DX16 tate Street Bank and Trust Company, 571474TGEMMWANRLN572	1,13% 1,10%	3,45% 0,69%	N.A.	N.A.	0,00
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lass of Instrument		Structure	d finance instru	ments	
otification if <1 average trade per business day in the previous year			Y		
	Proportion of volume traded as	Proportion of orders executed			
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op five execution venues ranked in terms of trading volumes (descending order) .A.	total in that class N.A.	total in that class N.A.	passive orders N.A.	aggressive orders N.A.	directed order
u v	143.4	1434.	14.7 %	14.5%	14.3
lass of Instrument	Equity Derivativ	es: Futures and O	ptions Admitted	to Trading on a Tra	ading Venue
otification if <1 average trade per business day in the previous year	1.9		N		· · • · · ·
	Proportion of	Proportion of			
	volume traded as a percentage of	orders executed as percentage of	Percentage of	Percentage of	Percentage of
op five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed order
I.M.Warburg & CO (AG & Co.) Kommanditgesellschaft auf Aktien, MZI1VDH2BQLFZGLQDO60 aader Bank Aktiengesellschaft. 529900JFOPPEDUR61H13	75,04% 24,41%	40,60% 39,14%	N.A.	N.A.	0,009
IBS AG, BFM8T61ČT2L1QCEMIK50	0,18%	11,84%	N.A.	N.A.	0,009
IZ BANK AG Zentral-Genossenschaftsbank, 529900HNOAA1KXQJUQ27 ISBC Bank PLC, MP6I5ZYZBEU3UXPYFY54	0,14%	7,11% 0,06%	N.A.	N.A.	0,009
	0.13%		N.A.	N.A.	
	0,13%	5,551	N.A.	N.A.	0,007
lass of Instrument		uity Derivatives: S			0,007
	Eq	uity Derivatives: S			0,007
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otification if <1 average trade per business day in the previous year	Proportion of volume traded as a percentage of	uity Derivatives: S Proportion of orders executed as percentage of	N Percentage of	equity derivatives Percentage of	Percentage of
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cop five execution venues ranked in terms of trading volumes (descending order) op five execution venues ranked in terms of trading volumes (descending order) op five execution venues ranked in terms of trading volumes (descending order) op five execution venues ranked in terms of trading volumes (descending order) in partial subsets of the property of the pro	Proportion of volume traded as a percentage of total in that class 20,74% 20,09% 16,71% 13,38% 11,20% Secu Proportion of volume traded as a percentage of total in that class 32,73% 18,95% 15,84% 9,67% 7,81% Proportion of volume traded as a percentage of total in that class 10,00% Commodptic	Proportion of orders executed as percentage of total in that class 19,81% 15,01% 11,11% Proportion of orders executed as percentage of total in that class 17,14% 1,90% 22,86% 0,95% Proportion of orders executed as percentage of total in that class 17,149% 1,90% 22,86% 0,95% Proportion of orders executed as percentage of total in that class 10,00% Proportion of orders executed as percentage of total in that class 100,00%	Percentage of passive orders N.A. N.A. N.A. N.A. N.A. Percentage of passive orders O,00% O	Percentage of aggressive orders N.A. N.A. N.A. N.A. Pertificate Derivative Percentage of aggressive orders 100,00% 100,00% 100,00% 100,00% 100,00% 100,00% 100,00% 100,00% 100,00% 100,00% 100,00%	Percentage of directed order 0,00% 0



Class of Instrument	Commodities derivatives and emission allowances Derivatives: Other commodities derivatives and emission allowances derivatives				
Notification if <1 average trade per business day in the previous year			Υ		
	Proportion	of Proportion of			
	volume traded	as orders executed			
	a percentage	of as percentage of	Percentage of	Percentage of	Percentage of
Top five execution venues ranked in terms of trading volumes (descending order)	total in that cl	iss total in that class	passive orders	aggressive orders	directed orders
N.A.	N.A.	N.A.	N.A.	N.A.	N.A.

Class of Instrument	Contracts for difference					
Notification if <1 average trade per business day in the previous year			Y			
	Proportion of	Proportion of				
	volume traded as	orders executed				
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage of	
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders	
N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	

Class of Instrument	(Exchange Traded		ge Traded Prodi Fraded Notes an		I Commodities)
Notification if <1 average trade per business day in the previous year			Υ		
	Proportion of	Proportion of			
	volume traded as	orders executed			
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage of
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders
Baader Bank Aktiengesellschaft, 529900JFOPPEDUR61H13	63,78%	86,29%	44,26%	55,74%	0,00%
ODDO BHF Aktiengesellschaft, 529900XLAZ15LYK8XK27	18,59%	3,19%	0,00%	100,00%	0,00%
ODDO BHF SCA, 969500219DJHZ3449O66	13,52%	7,42%	0,00%	100,00%	0,00%
SOCIETE GENERALE, 02RNE8IBXP4R0TD8PU41	2,31%	0,60%	66,67%	33,33%	0,00%
Flow Traders B.V., 549300CLJI9XDH12XV51	1,24%	0,07%	0,00%	100,00%	0,00%

Class of Instrument	Emission allowances					
Notification if <1 average trade per business day in the previous year			Υ			
	Proportion of	Proportion of				
	volume traded as	orders executed				
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage of	
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders	
N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	

Class of Instrument	Other Instruments				
Notification if <1 average trade per business day in the previous year			Y		
	Proportion of	Proportion of			
	volume traded as	orders executed			
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage of
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders
Baader Bank Aktiengesellschaft, 529900JFOPPEDUR61H13	86,21%	75,00%	0,00%	100,00%	0,00%
DBS VICKERS SECURITIES (SINGAPORE) PTE LTD, 54930003J3Y06S614573	0,13792276	0,25	0	1	0

Class of Instrument	Securities financing transactions (SFT	s) for all classes of 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)	volume traded as	orders executed
N.A.	N.A.	N.A.

 $^{^{\}star}$ In 2020 no securities financing transaction (SFTs) were made in none of the instrument classes

Top 5 Reporting (Venues) - Baader Bank Asset Management & Services

Period 1.1.2020 - 31.12.2020 Client Category: Professional Clients



Class of Instrument	Debt Instruments: Bonds				
Notification if <1 average trade per business day in the previous year			Y		
	Proportion of	Proportion of			
	volume traded as	orders executed			
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage of
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders
Bloomberg Trading Facility Limited (MTF), BMTF, 549300ROEJDDAXM6LU05	88,35%	85,05%	0,00%	19,20%	0,00%
Bloomberg Trading Facility B.V. (MTF), BTFE, 254900QBKK4WBSO3GE51	7,28%	7,17%	0,00%	13,13%	0,00%
MarketAxess NL B.V. (OTF), MANL, 5299000UUYW66L5LT560	3,17%	5,29%	0,00%	22,60%	0,00%
MarketAxess Europe Limited (MTF), MAEL, 549300TTHIODYMGND828	1,12%	2,39%	0,00%	57,58%	0,00%
Traditions (UK) Limited (OTF), TCDS, 5493009GUESWKOCRBE73	0,08%	0,11%	0,00%	100,00%	0,00%

Class of Instrument	Equities - Sh	ares and Deposita	ry Receipts: Ticl	k size liquidity band	is 5 and 6
Notification if <1 average trade per business day in the previous year			N		
	Proportion of	Proportion of			
	volume traded as	orders executed			
	a percentage of	as percentage of	Percentage of	Percentage of	Percentage o
Top five execution venues ranked in terms of trading volumes (descending order)	total in that class	total in that class	passive orders	aggressive orders	directed orders
Bloomberg Trading Facility B.V. (MTF), 254900QBKK4WBSO3GE51	100.00%	100.00%	N.A.	100.00%	0.00%