

## Top 5 Broker Reporting according to MiFID II Year 2022

HAUCK  
AUFHÄUSER  
LAMPE



Class of Instrument	Bonds
Notification if <1 average trade per business day in the previous year	no

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
JFD Bank AG	60,16%	90,39%	n/a	n/a	n/a
Baader Bank AG	13,35%	3,20%	n/a	n/a	n/a
Citigroup Global Markets Europe AG	11,12%	0,36%	n/a	n/a	n/a
Jefferies GmbH	4,52%	0,36%	n/a	n/a	n/a
HSBC TRINKAUS + BURKHARDT AG	3,18%	0,36%	n/a	n/a	n/a
<b>Andere</b>	<b>7,66%</b>	<b>5,34%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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HAUCK  
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Class of Instrument	ETF
Notification if <1 average trade per business day in the previous year	no

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
Jane Street Netherlands B.V.	46,53%	4,81%	n/a	n/a	n/a
Goldman Sachs Bank Europe SE	17,61%	3,49%	n/a	n/a	n/a
Société Générale	9,62%	3,57%	n/a	n/a	n/a
Susquehanna International Group	4,53%	0,93%	n/a	n/a	n/a
M.M. WARBURG + CO (AG+CO.) KGAA	2,82%	2,17%	n/a	n/a	n/a
<b>Other</b>	<b>18,89%</b>	<b>85,04%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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Class of Instrument	Profit participation certificates
Notification if <1 average trade per business day in the previous year	no

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
UBS Europe SE	74,21%	62,26%	n/a	n/a	n/a
JFD Bank AG	8,42%	9,97%	n/a	n/a	n/a
Bank J. Safra Sarasin AG	5,74%	4,31%	n/a	n/a	n/a
ICF BANK AG Wertpapierhandelsbank	5,25%	16,17%	n/a	n/a	n/a
Instinet Germany GmbH	3,45%	4,31%	n/a	n/a	n/a
<b>Other</b>	<b>2,93%</b>	<b>2,96%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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Class of Instrument	Rights
Notification if <1 average trade per business day in the previous year	no

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
ICF BANK AG Wertpapierhandelsbank	38,82%	67,98%	n/a	n/a	n/a
Carnegie Investment Bank AB	31,11%	2,37%	n/a	n/a	n/a
JFD Bank AG	22,68%	12,25%	n/a	n/a	n/a
UBS Europe SE	4,00%	6,72%	n/a	n/a	n/a
Instinet Germany GmbH	1,00%	3,56%	n/a	n/a	n/a
<b>Other</b>	<b>2,41%</b>	<b>7,11%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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Class of Instrument	Shares
Notification if <1 average trade per business day in the previous year	no

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
Instinet Germany GmbH	18,87%	19,72%	n/a	n/a	n/a
Citigroup Global Markets Europe AG	12,44%	8,61%	n/a	n/a	n/a
JFD Bank AG	9,83%	7,71%	n/a	n/a	n/a
Goldman Sachs Bank Europe SE	8,59%	8,01%	n/a	n/a	n/a
Morgan Stanley Europe SE	7,59%	5,62%	n/a	n/a	n/a
<b>Other</b>	<b>42,69%</b>	<b>50,33%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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Class of Instrument	Warrants
Notification if <1 average trade per business day in the previous year	no

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
JFD Bank AG	86,09%	54,55%	n/a	n/a	n/a
Bank J. Safra Sarasin AG	11,05%	27,27%	n/a	n/a	n/a
Instinet Germany GmbH	2,86%	18,18%	n/a	n/a	n/a
<b>Other</b>	<b>0,00%</b>	<b>0,00%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			

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Class of Instrument	Certifikates
Notification if <1 average trade per business day in the previous year	no

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
UBS Europe SE	26,44%	9,57%	n/a	n/a	n/a
Citigroup Global Markets Europe AG	25,72%	7,45%	n/a	n/a	n/a
Société Générale	21,69%	5,32%	n/a	n/a	n/a
Goldman Sachs Bank Europe SE	16,10%	2,13%	n/a	n/a	n/a
JFD Bank AG	3,63%	23,40%	n/a	n/a	n/a
<b>Other</b>	<b>6,43%</b>	<b>52,13%</b>			
<b>Total</b>	<b>100,00%</b>	<b>100,00%</b>			