

Top 5-Reporting according to MIFID II/RTS 28
For Institutional Clients
Year 2020



HAUCK & AUFHÄUSER

PRIVATBANK SEIT 1796

Class of Instrument	Equities (AA99)
Ticksize	AB
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
New York-NASDAQ	24,38%	32,36%	100,00%	0,00%	0,17%
New York-NYSE	23,20%	13,57%	100,00%	0,00%	0,87%
Zürich	9,93%	1,67%	100,00%	0,00%	3,66%
London	9,60%	4,81%	100,00%	0,00%	2,60%
New York-NASDAQ GM	7,32%	13,72%	100,00%	0,00%	0,10%
Others	25,56%	33,87%			
Total	100,00%	100,00%			

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PRIVATBANK SEIT 1796

Class of Instrument	Equities (AA99)
Ticksize	CD
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
Xetra	49,65%	25,62%	80,12%	19,88%	4,81%
Paris	7,67%	9,79%	100,00%	0,00%	0,72%
Stockholm	5,06%	2,18%	100,00%	0,00%	1,99%
New York-NASDAQ	4,55%	10,99%	100,00%	0,00%	0,00%
New York-NASDAQ CM	3,71%	12,55%	100,00%	0,00%	0,00%
Others	29,36%	38,87%			
Total	100,00%	100,00%			

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PRIVATBANK SEIT 1796

Class of Instrument	Equities (AA99)
Ticksize	EF
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
New York-NASDAQ	28,50%	27,63%	100,00%	0,00%	0,60%
New York-NYSE	21,58%	24,20%	100,00%	0,00%	0,91%
Xetra	18,06%	8,88%	67,45%	32,55%	11,28%
Paris	7,60%	3,86%	100,00%	0,00%	1,40%
Amsterdam	4,51%	2,88%	100,00%	0,00%	2,31%
Others	19,75%	32,55%			
Total	100,00%	100,00%			

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Class of Instrument	Equities (AA99)
Ticksize	--
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
New York-NASDAQ	40,51%	34,42%	100,00%	0,00%	0,02%
São Paulo	18,03%	19,45%	100,00%	0,00%	0,00%
New York-NYSE	7,14%	6,13%	100,00%	0,00%	0,00%
Busan-KOSDAQ	6,09%	15,08%	100,00%	0,00%	0,00%
Shenzhen	6,07%	0,01%	100,00%	0,00%	0,00%
Others	22,17%	24,91%			
Total	100,00%	100,00%			

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Class of Instrument	Equity certificates (AB99)
Ticksize	AB
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
New York-NYSE	42,29%	29,78%	100,00%	0,00%	1,13%
New York-NASDAQ	41,90%	49,31%	100,00%	0,00%	1,33%
New York-NASDAQ GM	8,21%	19,69%	100,00%	0,00%	0,02%
London	6,63%	0,64%	100,00%	0,00%	12,50%
Xetra	0,72%	0,20%	55,74%	44,26%	0,00%
Others	0,25%	0,37%			
Total	100,00%	100,00%			

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Class of Instrument	Equity certificates (AB99)
Ticksiz	CD
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
New York-NYSE	81,41%	74,10%	100,00%	0,00%	0,03%
New York-NASDAQ	14,70%	25,45%	100,00%	0,00%	0,00%
London	2,58%	0,17%	100,00%	0,00%	0,00%
Xetra	1,31%	0,29%	33,33%	66,67%	100,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Equity certificates (AB99)
Ticksize	EF
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
Paris	100,00%	100,00%	100,00%	0,00%	45,45%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Equity certificates (AB99)
Ticksize	--
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
New York-NASDAQ	60,25%	36,97%	100,00%	0,00%	0,00%
New York-NYSE	34,88%	51,52%	100,00%	0,00%	0,00%
Chicago	3,70%	8,41%	100,00%	0,00%	0,00%
New York-NASDAQ GM	0,69%	2,17%	100,00%	0,00%	0,00%
Bangkok	0,48%	0,92%	100,00%	0,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Exchange Traded Funds (AC99)
Ticksize	--
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
BLOOMBERG TRADING FA	81,75%	33,62%	100,00%	0,00%	17,38%
BLOOMBERG TRADING FA	11,47%	3,82%	100,00%	0,00%	18,57%
Xetra	3,90%	22,85%	34,26%	65,74%	20,24%
London	1,90%	23,65%	100,00%	0,00%	0,62%
Zürich	0,59%	9,08%	100,00%	0,00%	2,20%
Others	0,40%	6,97%			
Total	100,00%	100,00%			

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Class of Instrument	Certificates (AD99)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
Zürich	89,88%	93,62%	100,00%	0,00%	4,22%
Stuttgart	5,87%	4,56%	0,00%	100,00%	46,67%
München	4,26%	1,82%	0,00%	100,00%	100,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	other equity related instruments (AE99)
Ticksize	--
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
New York-NYSE	57,51%	74,27%	100,00%	0,00%	0,05%
Zürich	20,03%	1,27%	100,00%	0,00%	0,00%
Paris	15,33%	17,95%	100,00%	0,00%	0,00%
Madrid-Merc.Cont.	4,49%	3,14%	100,00%	0,00%	15,19%
Xetra	1,30%	2,14%	66,67%	33,33%	1,85%
Others	1,35%	1,23%			
Total	100,00%	100,00%			

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Class of Instrument	Government bonds (BA10)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	74,83%	88,24%	100,00%	0,00%	5,00%
BLOOMBERG TRADING FA	25,10%	9,56%	100,00%	0,00%	7,69%
Stuttgart	0,07%	2,21%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Other bonds (BA11)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	100,00%	100,00%	100,00%	0,00%	33,33%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Convertibles (BA12)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	87,85%	53,85%	100,00%	0,00%	0,00%
Zürich	8,88%	23,08%	100,00%	0,00%	33,33%
Stuttgart	3,27%	23,08%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Debentures (BA13)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	68,75%	88,89%	100,00%	0,00%	0,00%
BLOOMBERG TRADING FA	31,25%	11,11%	100,00%	0,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Corporate Bonds (BA14)
Ticksize	--
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
BLOOMBERG TRADING FA	91,53%	62,91%	100,00%	0,00%	2,24%
Stuttgart	5,57%	30,99%	0,00%	100,00%	7,07%
BLOOMBERG TRADING FA	1,63%	1,72%	100,00%	0,00%	0,00%
Zürich	0,45%	1,10%	100,00%	0,00%	0,00%
München	0,36%	2,19%	0,00%	100,00%	21,43%
Others	0,46%	1,10%			
Total	100,00%	100,00%			

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Class of Instrument	Other Bonds (BA15)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	98,21%	63,16%	100,00%	0,00%	0,00%
Stuttgart	1,12%	26,32%	0,00%	100,00%	10,00%
Amsterdam	0,45%	2,63%	100,00%	0,00%	100,00%
München	0,22%	7,89%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Securitized equity derivatives (BE21)
Ticksize	--
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
Stuttgart	97,64%	98,94%	0,91%	99,09%	3,51%
Frankfurt	1,91%	0,15%	100,00%	0,00%	0,00%
Zürich-Scoach	0,27%	0,45%	100,00%	0,00%	0,00%
BLOOMBERG TRADING FA	0,17%	0,15%	100,00%	0,00%	0,00%
Zürich	0,01%	0,30%	100,00%	0,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Securitized commodity derivatives (BE22)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
BLOOMBERG TRADING FA	94,83%	42,86%	100,00%	0,00%	0,00%
Stuttgart	5,17%	57,14%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Securitized FX derivatives (BE24)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
Stuttgart	100,00%	100,00%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	Securitized derivatives (BE99)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
Stuttgart	88,69%	56,25%	0,00%	100,00%	0,00%
Stockholm	10,51%	37,50%	100,00%	0,00%	0,00%
Zürich	0,80%	6,25%	100,00%	0,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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Class of Instrument	ETPs (BF99)
Ticksize	--
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
BLOOMBERG TRADING FA	84,23%	22,20%	100,00%	0,00%	6,98%
Xetra	8,92%	34,42%	60,00%	40,00%	4,00%
Stuttgart	4,38%	5,85%	0,00%	100,00%	11,76%
London	2,47%	37,52%	100,00%	0,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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PRIVATBANK SEIT 1796

Class of Instrument	without further disclosure (C999)
Ticksize	--
Notification if <1 average trade per business day in the previous year	Yes

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
São Paulo	51,57%	88,47%	100,00%	0,00%	0,00%
New York-NYSE	32,41%	11,22%	100,00%	0,00%	24,30%
Sydney	16,02%	0,21%	100,00%	0,00%	0,00%
Stuttgart	0,00%	0,10%	0,00%	100,00%	0,00%
Others	0,00%	0,00%			
Total	100,00%	100,00%			

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PRIVATBANK SEIT 1796

Class of Instrument	ETD (BD)
Ticksize	--
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
Chicago Mercantile (XCME)	53,69%	22,70%	100,00%	0,00%	0,00%
EUREX (XEUR)	33,86%	48,23%	100,00%	0,00%	0,00%
Chicago Board Option (XCBO)	3,00%	10,13%	100,00%	0,00%	0,00%
Chicago Board Trade (XCBT)	2,98%	3,24%	100,00%	0,00%	0,00%
London (XLON)	1,12%	2,38%	100,00%	0,00%	0,00%
Others	5,35%	13,32%			
Total	100,00%	100,00%			