



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|--|----------------|-----------------|
| 2 G Eenergy AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| 2G Energy equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| 2G Energy AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| 4SC AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| 58.COM ADR CL.A2/DL-00001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| A.A.A.AG ALLG.ANL.VERW equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AARON'S INC. A DL -,50 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AB BIOTICS GVC Gaesco Beka | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | Jul-10 | |
| ABEO CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Oct-16 | |
| ACCELL GROUP NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ACCENTRO R.EST.AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ACCOR CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jan-17 | Bookrunner |
| ACCYS TECHNOLOGIES NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ACOTEL Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| ACTUANT A DL-,20 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ADEUNIS CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ADMIE STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| ADVA OPT.NETW.SE O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ADVANTAGE OIL + GAS LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AETERNA ZENTARIS INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AGENNIX AG I.A. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AGRARIUS AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AGRARIUS AG INH. O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AGRIUM INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AGROTON PUBLIC LTD GDR 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AIR France KLM CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Oct-16 | Bookrunner |
| AIR LIQUIDE CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jun-16 | Bookrunner |
| AKKA TECHNOLOGIES CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALACER GOLD CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALACER GOLD CORP. CDIS 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALARM.COM HOLDINGS INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALD EO 1,50 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



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| ALEXANDER + BALDWIN equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALLIANCE RESOURCES LTD. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALLREAL HLDGS NAM SF 50 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALON USA PARTNERS UTS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALPHA BANK STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| ALPHA BANK STOCK OPTION Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| ALSTRIA OFFICE REIT-AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALTAGAS LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ALTRI Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group had an Investment Banking services client relationship (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| AM.AXLE + MFG HLDGS DL-01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMBARELLA INC. DL -,00045 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMEDISYS INC. DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMER. SOFTWARE A DL-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMERCO DL-,25 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMERICAS SILVER equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMERIGO RESOURCES LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AMSTERDAM COMMODITIES NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ANACONDA MNG CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ANGLO AMERICAN SP.ADR 1/2 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ANHEUSER-BUSCH INBEV ADR equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ANIMA HOLDING Banca Akros | Shares where the Member and/or its Group holds more than (A) (*) | | |
| APRR (AUTOROUTES PARIS RHIN RHONE) CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Nov-16 | Bookrunner |
| ARC LOG.PART.UTS R.L.P.I. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ARCANDOR AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ARCHROCK PARTNERS LP UTS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ARTISAN PART.AS.M.A DL-01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ASF CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Apr-17 | Bookrunner |
| ASPEN TECH. INC. DL-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AT+S AUSTR.T.+SYSTEMT. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ATKORE INTL GROUP DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ATLANTIA | | | |



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|---|---|----------------|-----------------|
| Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| ATOS CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| ATOSS SOFTWARE AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AUDI AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AURIZON HLDGS LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AUTOCANADA INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| AUTOSTRADE TO-MI Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| AXELERO Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| AXIOM MINING CDI 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Aareal Bank AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Ad Pepper media equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Adidas AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Adler Modemärkte equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Adler Modemärkte AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Adler Real Estate AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Air Berlin Finance B.V. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Airbus Group SE equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Aixtron SE equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| All for One Steeb AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Allianz AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Analytik Jena AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Axel Springer SE equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| BACHEM HLDG NA B SF 0,05 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BAINS MER MONACO EO 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BANCA FARMAFACTORING Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| BANCO BPM Banca Akros | Shares of companies part of the Member Group | | |
| BASIC-FIT NIBC Markets | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| BATENBURG BEHEER NIBC Markets NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| BAUMOT GROUP AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BAYER AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BB BIOTECH NAM. SF 0,20 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BB Biotech AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| BBS KRAFTFAHR.TEC.VZO O.N | | | |



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| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BCP | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| BE Semiconductor Industries N. V. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| BEIJING ENTERPRIS.ENV.GR. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BENDIGO + ADELAIDE BK LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BENITEC BIOPHARMA LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BERTRANDT AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BEST BUY CO. DL-,10 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BEST UNION COMPANY | | | |
| Banca Akros | A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company | | |
| BET-AT-HOME.COM AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BHS TABLETOP AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BIOCRYST PHARMAC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BIOLASE INC. DL -,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BIOORGANIC RESEARCH SER | | | |
| GVC Gaesco Beka | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | Jan-12 | |
| BIRIMIAN LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BITAUTO HDGS LTD SP.ADR 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BLUE BUFFALO PET.P.DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BLUEBIRD BIO INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BMW AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| BOISE CASCADE CO. DL -,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BOURBON | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BPI | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| BREVILLE GROUP LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BRIGHT HOR.FAM.SO.DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BRINKS CO. DL 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BRP INC. SUBORD.VOT. O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BRUEDER MANNESM.AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BRUNEL INTL NV EO -,03 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| BUREAU VERITAS S.A. | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| Balda AG | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Baumot Group AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



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| Bavaria Industriekapital AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| BayWa AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Bayer AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Biotest AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Biotest AG Vorzugsaktien equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Brenntag AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| C.H. ROB. WORLDWIDE NEW equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CALIDA HLDG NA SF 0,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CAMPING WORLD CL.A DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CANADA CARBON INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CANADIAN ZINC CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CANFOR CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CANICKEL MINING equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CAPE LIVE Banca Akros | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| CARA OPERATIONS SUB.VOT. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CARBURES GVC Gaesco Beka | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | Mar-12 | |
| CARGOTEC Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| CASCADES INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CATALIS SE NAM. EO 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CATENON GVC Gaesco Beka | The Member is Nominated Adviser on AIM | Aug-16 | |
| CAVERION Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| CECONOMY AG ST O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CECONOMY AG VZO O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CELLNOVO CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jul-15 | |
| CENERGY HOLDINGS STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| CEOTRONICS AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CES ENERGY SOLUTIONS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CG Frankfurt Ostend GmbH & Co. KG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| CGG SA 12-19 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CGG SA 15-20 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CHANNELADVISOR DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CHOICE HOTELS INT. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



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| CIECH S.A. ZY 5 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CINER RESOURCES UTS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CLASQUIN CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| CLEANAWAY WASTE MNGMT equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CLEARFIELD INC. DL-01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CLEARWATER PAPER DL-,0001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CLEVER GLOBAL GVC Gaesco Beka GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | Dec-16 Aug-16 | |
| CLOUD PEAK ENERGY DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| COCA COLA HBC STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| COFIDUR CM-CIC Market Solutions CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | Nov-11 | Sponsor |
| COFINA Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites | | |
| COGNIZANT TECH. SOL.A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| COMPAGNIE AGRICOLE DE LA CRAU CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | Feb-16 | |
| COMPUGROUP MED.SE O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CONTIN.BLDG PRODS DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CONTINENTAL CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Nov-16 | Co-Lead Manager |
| CONTINENTAL AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CORESTATE CAPITAL HLDG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CORTICEIRA AMORIM Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites | | |
| COSTAR GROUP INC. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| COTT CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CPI PROPERTY GRP EO-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CRAMO Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| CREDIT AGRI. 16/19 ZO CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CREDIT SUISSE GP AG ADR 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CROSSJECT CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | Sponsor |
| CTAC NIBC Markets NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| CTS Eventim equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| CTT | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|--|----------------|-----------------|
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group had an Investment Banking services client relationship (B) | | |
| CVR REFINING LP UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CYPRESS ENERGY PART.UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CYTOTOOLS | O.N. | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Ceconomy | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Celeo Fotovoltaico S. A. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Cenit AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Comdirect bank AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Commerzbank AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Constantin Medien AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Continental AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Conwert Immobilien Invest SE | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Corestate Capital Holding S. A. | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Corestate Capital Holding SA | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Corestate S.A. | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| CytoTools AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DACIAN GOLD LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DALDRUP+SOEHNE AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DATA MODUL AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DAVIDSTEA INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DBV TECHNOLOGIES EO -,10 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DELFINGEN | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Dec-12 | |
| DEMIRE Deutsche Mittelstand Real Estate AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DENISON MINES CORP. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DEUTSCHE EUROSHOP NA O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DEUTSCHE WOHNEN SE INH | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DF Deutsche Forfait AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| DIAMOND OFFSHORE DRILLING | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DIC ASSET AG NA O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DIGITAL BROS | | | |
| Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| DIGITAL MAGIC | | | |
| Banca Akros | Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) | | |
| DIRECT ENERGIE | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jun-12 | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | Nov-13 | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| DOBANK Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| DOGI INTERNATIONAL FABRICS GVC Gaesco Beka | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | Jul-15 | |
| DOM SECURITY CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DOMINION DIAMOND CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DOMINOS PIZZA ENTERPR.LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DOMTAR CORP. NEW DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DPA GROEP NIBC Markets NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| DRDGOLD LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DRDGOLD LTD. RC 1 ADR/10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DRILLISCH AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DT.REAL ESTATE AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| DUTY FREE SHOPS STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| DXP ENTERPRISES DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Daimler AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Daldrup & Söhne AG equinet Bank equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Delivery Hero AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Demire AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Deutsche Bank AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Deutsche Bildung Studienfonds II GmbH & Co. KG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Deutsche EuroShop AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Deutsche Pfandbriefbank AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Deutsche Real Estate Funds S. A. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| Deutsche Telekom AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Deutscher Studenten Wohn Bond I S.A. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Drillisch AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| EAGLE ENERGY INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EASTMAIN RES INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ECHELON CORP. NEW DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ECHO GLOBAL LOG. DL-,0001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ECHOSTAR CORP. A DL -,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ECOSLOPS CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EDEL AG O.N. | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EDF | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Oct-16 | Bookrunner |
| EDGE THERAPEUTICS INC | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EDGEWELL PERS.CARE DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EDP | | | |
| Caixa Banco De Investimento | A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group had an Investment Banking services client relationship (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| EDP RENOVAVEIS | | | |
| Caixa Banco De Investimento | A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group had an Investment Banking services client relationship (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| EFG EUROBANK ERGASIAS STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| EIFPAGE | | | |
| CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | | |
| EISEN- U.HUETTENWERKE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ELEC + ELTEK INTL SD-,80 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ELIS S.A. EO 1,- | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ELISA | | | |
| Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| ELLAKTOR S.A. (ex ELLINIKI TECNODOMIKI TEB) STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| ELRINGLINGER AG NA O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ELTEL | | | |
| Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| EMOVA | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ENAV | | | |
| Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| ENDESA | | | |
| GVC Gaesco Beka | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | Nov-14 | |
| ENERVIT SPA | | | |
| Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| ENGIE | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Mar-17 | Bookrunner |
| ENSIGN ENERGY SERVICES | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ENSYNC INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ENVIPCO | | | |
| NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EPLUS INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ERAMET | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| ERAMET 16-UND. CV FLR | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ESI GROUP | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|---|------------------|-----------------|
| ESSENDANT INC. DL-10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EUROESPES GVC Gaesco Beka GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member is Nominated Adviser on AIM | Apr-15 Aug-16 | |
| EUROKAI KGAA VZO equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EUROMICRON AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EURONA WIRELESS TELECOM GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-16 | |
| EURONEXT N.V. WI EO 1,60 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EUROPCAR GROUPE SA A EO 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EUROPEAN ASSETS TRUST NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EVERTEC INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EVOLENT HEALTH A DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EVOLIS CM-CIC Market Solutions CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | Nov-11 | Sponsor |
| EXPRESS INC. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| EXPRIVIA Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| EYEMAXX R.EST.AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ElringKlinger AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Elumeo AG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| Elumeo SE equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Euromicron AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| FABASOFT AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FACEPHI BIOMETRIA GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jun-15 | |
| FALCK REWENABLES Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| FAR LTD. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FIGEAC AERO 17/22 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FISSION URANIUM CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FLEURY MICHON CM-CIC Market Solutions CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| FLEXIGROUP LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FLOW TRADERS N.V. EO -,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FONCIERE ATLAND CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FONCIERE DES REGIONS CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | May-16 | Bookrunner |
| FONCIERE REG 13-19 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FORFARMERS NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| FORIS AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| FORTEC ELEKTRO. O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FORW.PHARMA A/S SP.ADR /2 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FREENET AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FRESENIUS CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jan-17 | Bookrunner |
| FROEHLICH BAU AG VZO I.A. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FROMAGERIES BEL CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Apr-17 | Bookrunner |
| FTSE/ASE LARGE CAP FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| FTSE/ASE LARGE CAP OPTION Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| FUGRO NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| FUGRO N. V. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| FUNKWERK O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| FUTUREN 07-41 CV FLR equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Ferratum equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Ferratum Oyi equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| Fielmann AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| First Sensor AG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| First Sensor AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Foris AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Freenet AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Freund & Partner GmbH equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Fuchs Petrolub AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Funkwerk AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Fußballclub Gelsenkirchen-Schalke 04 e.V. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Fyber N.V. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GABETTI PROPERTY SOLUTION Banca Akros | Shares where the Member and/or its Group holds more than (A) (*) | | |
| GALP ENERGIA Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| GALWAY GOLD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GAMBERO ROSSO Banca Akros | The Member is Nominated Adviser on AIM | | |
| GASPLUS | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| GAZTRANSP.TECHNIG.EO-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GBK Beteiligungen AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GEA GROUP AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GECINA | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| GEK STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| GENERIX | | | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| GENFIT | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| GENOCEA BIOSCIENC.DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GENOMIC VISION | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Sep-07 | |
| GENWORTH MORTG.INS.AUSTR. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GEOPARK LTD. DL -,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GESCO AG | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| GEWA 5 to 1 GmbH & Co. KG | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| GFT Technologies AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| GFT Technologies SE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GL EVENTS | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| GLOBAL BL.THERAP. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GLOBALSTAR INC. DL -,0001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GN Store Nord A/S | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| GOLD RESERVE INC. A | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GOLDEN GOLIATH RES. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GOLDEN REIGN RES. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GPI | | | |
| Banca Akros | The Member is Nominated Adviser on AIM | | |
| GREENLAND HK HLDGS HD-,50 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GRIFOLS SP.ADR B EO-,10 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GRIVALIA PROPERTIES (ex EUROBANK PROPERTIES REAL ESTATE INVESTMENT COMPANY) STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| GRÍÑO ECOLOGIC S.A. | | | |
| GVC Gaesco Beka | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | Mar-16 | |
| GVC Gaesco Beka | The Member is Nominated Adviser on AIM | Aug-16 | |
| GROUPE FNAC SA | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| GROUPE OPEN | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jan-16 | |
| GROUPE PARTOUCHE | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| GROUPE POUJOLAT | | | |
| CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | May-15 | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|--|----------------|-----------------|
| GROUPE PSA CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Mar-17 | Bookrunner |
| GROUPE SFPI CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | Apr-16 | |
| GULF ISLAND FABRICATION equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GUOLIAN SECS CO.LTD H YC1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| GWB IMMOBILIEN INH. O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Gerry Weber equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Gesco AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Gigaset AG equinet Bank equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Grenke AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Groupe Bruxelles Lambert SA CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | May-17 | Bookrunner |
| H+R KGAA INH. O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HANN.ARM.SUS.INF.CA.DL-01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HARSCO CORP. DL 1,25 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HAVILAH RESOURCES LTD. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HAWESKO HOLDING AG SVG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HEADFIRST SOURCE GROUP NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HEATHROW AIRPORT CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jun-17 | Bookrunner |
| HECLA MNG DL-,25 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HEIJMANS NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| HELLA KGaA equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| HELLENIC EXCHANGES STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| HELLENIC PETROLEUM STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| HELLENIC TELECOM.ORGANISATION STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| HELLENIC TELECOM.ORGANISATION STOCK OPTION Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| HF COMPANY CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HIGHLDS PACIFIC KI-,40 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HOLLAND COLOURS NIBC Markets NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| HORIZON NORTH LOGISTICS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HORNBACH HOLD.ST O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HYDROGENICS CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| HYFLUX LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|---|----------------|-----------------|
| Halloren Schokoladenfabrik AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Hannover Re AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Hapag Lloyd AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Heidelberg Pharma AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Heidelberger Druck equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Hornbach Holding equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Hugo Boss AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Hypoport AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Hörmann Finance GmbH equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| I GRANDI VIAGGI Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| IAMGOLD CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IBERSOL Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| ICADE CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Nov-16 | Bookrunner |
| ICT AUTOMATISERING NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IDENTIV INC. DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IFA HOTEL U.TOURISTI.O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ILSOLE24ORE Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| IMERYS CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jan-17 | Bookrunner |
| IMMOFINANZ 11/18 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IMPRESA Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| INDEL B Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| INDRA GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jul-14 | |
| INDUS Holding AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| INDUSTRIAL STARS OF ITALY 3 Banca Akros Banca Akros | The Member is Nominated Adviser on AIM The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| ING GP NV SP.ADR/1 EO-,24 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INGENICO GRP 15/22 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INNOVAITALY 1 Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| INSTRUCTURE INC. DL-,0001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INTER PARFUMS INC. DL-001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INTERCEPT PHARMAC.DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

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| Company | Conflict Description | Operation Date | ESN Member Role |
|---|--|----------------|-----------------|
| INTERPARFUMS S.A.INH.EO 3 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INTERTAPE POLYMER GRP equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INTICA SYSTEMS AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| INTRALOT STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| INTU (Jersey) 2 Limited equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| INVISION AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IVANHOE MINES A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| IVU Traffic Technologies AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Immokles AG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| Indra Systemas S. A. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Inmarsat PLC equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Innogy SE equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Isra Vision Systems AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| JABS Holdings CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | May-17 | Co-Lead Manager |
| JCDECAUX CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | May-16 | Bookrunner |
| JERONIMO MARTINS Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| JUBII EUROPE N.V.B EO-.01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| JUMBO S.A. STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| K+S AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| KAMUX Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| KAP BETEILIGUNGS-AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KAR AUCTION SERVICES INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KAUFMAN & BROAD CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| KELT EXPLORATION LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KEMIRA Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| KENDRION NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KENNADY DIAMONDS INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KEYRUS CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KHD HUMB.WEDAG VV NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KHD Humboldt Wedag International AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| KINGSW.FIN.SRVCS INC. NEW equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|--|----------------------------|-----------------|
| KOENIG + BAUER AG ST O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KOMAX HLDG NA SF 0,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KONECRANES Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| KONINKLIJKE BRILL NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KORIAN 17-UND. CV FLR equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KOSMOS ENERGY LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| KTG Agrar SE equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| KTG Energie GmbH equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| KWS Saat SE equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| LADDER CAP.CORP.A DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LAFARGEHOLCIM Ltttd CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Aug-17 | Bookrunner |
| LANSON-BCC CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | | |
| LAUREATE EDUCATION CL.A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LEGEND HLDGS CORP. H YC 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LEGRAND CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jun-17 | Bookrunner |
| LEHTO GROUP Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| LEONI AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LEVON RES LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LIFE HEALTHCARE GR.HLDGS equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LLEIDANETWORKS SERVEIS TELEMATICS GVC Gaesco Beka GVC Gaesco Beka GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member is Nominated Adviser on AIM The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | Sep-15 Aug-16 Sep-15 | |
| LUCAS BOLS NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LUDW.BECK A.RATHAUSECK equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LUMOS NETWORKS DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LUZ SAUDE Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) | | |
| LYNAS CORP. LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| LYONDELLBAS.IND.A EO -,04 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Leoni AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Linde AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Logwin AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| M.A.X. Automation AG equinet Bank equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

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| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| MAANSHAN IRON STEEL H YC1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MAG SILVER CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MAGIC SOFTWARE ENT.IS-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MAISONS FRANCE CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MALIBU BOATS INC.A DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MARIN SOFTWARE DL -,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MASMOVIL IBERCOM GVC Gaesco Beka | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | Aug-16 | |
| MATRIX SERV. CO. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MATTHEWS INTL CORP.A DL 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MAUREL ET PROM 15-21 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MAX Automation AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| MEADOW BAY GOLD NEW equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MEDNAX INC. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MEDX HEALTH CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MELIÁ HOTELS INTERNATIONAL, S.A. GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Feb-17 | |
| MEMSCAP CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MERCAL INMUEBLES SOCIMI GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-16 | |
| METABOLIC EXPLORER CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| METRO AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| METRO AG ST O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| METRO AG VZO O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| METSO Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| MIDDLEBY CORP. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MITEL NETWORKS CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MIX TELEMATICS SP.ADR 25 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MLP AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MOLSON COORS B DL 0,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MOMENTA PHARMAC. DL-,0001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MONTANA EXPLORATION CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MOTA ENGIL Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------------------|-----------------|
| MOTOR OIL STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| MS INDUSTRIE AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MTU Aero Engines AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| MTU Aero Engines Hold equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MUELLER-DIE LILA LOGISTIK equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MVISE AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MYOVANT SCIENC. DL-,00001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| MYTILINEOS HOLDINGS STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| Manz AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| Merck KGaA equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Merkur Bank KGaA equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Metro Wholesale equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Muehlan AG equinet Bank equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Münchener Rückversicherung AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| NAGAMBIE RESOURCES LTD. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NANOFOCUS O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NATIONAL BANK OF GREECE STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| NATIONAL BANK OF GREECE STOCK OPTION Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| NATL OILWELL VARCO DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NAVIGATOR HLDGS PLC equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NAVITAS LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NBI BEARINGS EUROPE GVC Gaesco Beka GVC Gaesco Beka GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member is Nominated Adviser on AIM The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | Apr-15 Aug-16 Apr-15 | |
| NEDAP NIBC Markets NIBC Markets NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| NEOL BIOSOLUTIONS GVC Gaesco Beka | The Member is Nominated Adviser on AIM | Aug-16 | |
| NEOPHOTONICS CORP. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NEOPOST 15-UND. CV FLR equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NESTLE NAM. ADR/1 SF 1 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NEURON BIO GVC Gaesco Beka GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member is Nominated Adviser on AIM | Aug-16 Aug-16 | |
| NEURONES CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Feb-17 | |
| NEW HOME CO. INC. DL -,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| NEWALTA CORP. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NEWAYS ELECTRONICS INTERNATIONAL | | | |
| NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NEWPARK RES DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NEXITY 16-23 CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NIKO RESOURCES LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NORTH ATL.DRI.N.POSTDL-10 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NORTHERN DYNASTY MINLS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NORTHLAND POWER INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NORTHWESTERN NEW DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NOS | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| NOTORIUS PICTURES | | | |
| Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Banca Akros | The Member is Nominated Adviser on AIM | | |
| NOVABASE | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| NOVAGOLD RES | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NOVISOURCE | | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NOVO LITIO LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NRJ GROUP | | | |
| CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | | |
| NUCOR CORP. DL-,40 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NUERNBERGER BET.AG VNA | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NYRSTAR | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Nanogate AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Nemetschek AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Nexus AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| NorCom Information Technology AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Norma Group | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| OBSIDIAN ENERGY | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OBSIDO SOCIMI | | | |
| GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-16 | |
| GVC Gaesco Beka | The Member is Nominated Adviser on AIM | Aug-16 | |
| OCEANEERG INTL INC.DL-,25 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OCH-ZIFF CAPITAL MAN.CL A | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|--|----------------|-----------------|
| OHB SE equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| OHB SE O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OLL.BARG.OUTL.HLD.DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ONTEX GROUP NV EO -,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ONXEO CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OPAP STOCK FUTURE Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| OPAP STOCK OPTION Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| OPENLIMIT HLDG INH. SF-30 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ORBOTECH LTD IS -,0014 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ORSERO Banca Akros | The Member is Nominated Adviser on AIM | | |
| OSISKO GOLD ROYALT. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OSMOZIS CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OSRAM Licht AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OTTER TAIL DL 5 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OVB Holding AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| OVB Holding AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| PAION O.N equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PALADIN ENERGY LTD. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PANORAMIC RES LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PARAMOUNT RES LTD CLASS A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PARK ELEKTROCHEM. DL-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PARK U.BELLHEIMER AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PASSAT CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PATRIZIA IMMOBILIEN NA ON equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PATTERS.-UTI DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PBF ENERGY INC. CL.A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PCC SE equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| PENGROWTH ENERGY equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PENNEY -JC- CO. DL-,50 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PETMED EXPRES.INC DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PFERDEWETTEN.DE AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PHARMAGEST INTERACTIVE CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| PHAROL Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|---|----------------|-----------------|
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securitites | | |
| PHILLIPS 66 PRT. LP UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PIERRE ET VACANC.14-19 CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PINE CLIFF ENERGY | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PIRAEUS BANK STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| PIRAEUS BANK STOCK OPTION | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| PIRAEUS PORT AUTHORITY S.A. STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| PIRELLI | | | |
| Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| PLAINS ALL AMER. P. DL-,1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PLANET PAYMENT DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PLAZZA AG NAM. A SF-,50 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| POLARIS INDS INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| POOL CORP. DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PORSCHE AUTOM.HLDG VZO | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| POWELL IND. INC. DL -,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PRAIRIESKY ROYALTY LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PRELIOS | | | |
| Banca Akros | Shares where the Member and/or its Group holds more than (A) (*) | | |
| PREMUDA | | | |
| Banca Akros | Shares where the Member and/or its Group holds more than (A) (*) | | |
| PRIME INDUSTRIE | | | |
| Banca Akros | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| PRINC.PR.EQ.HLDGS EO-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PROCREDIT HLDG AG NA EO 5 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PROGRESS-WERK OBERK. O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PROVIDENCE SRVC DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PSI AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PTC THERAPEUTICS DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PUBLIC POWER CORP. STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| PUBLIC POWER CORP. STOCK OPTION | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| PULSION Medical Systems SE | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| PUMA SE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PURA VIDA ENERGY NL | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PVA TePla AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| PWO | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|--|----------------|-----------------|
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Patrizia AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Pfeiffer Vacuum equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Pfeiffer Vacuum Technology AG equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| ProCredit Holding equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| ProCredit Holding AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Progress-Werk Oberkirch AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| QUINTIS LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| R. STAHL AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RADISYS CORP. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RAGING RIVER EXPLORATION equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RALLYE 13-20 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RAPALA Op Corporate Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| RCI BANQUE CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Mar-17 | Bookrunner |
| RED ROCK RESORTS A DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| REFRESCO NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| REGENERON PHARMAC.DL-,001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RELX N.V. ADRS EO-,07 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| REMY COINTREAU 16/26 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| REN Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| RENAULT SAS CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Apr-17 | Bookrunner |
| REPLIGEN CORP. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| REXEL CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | May-16 | Bookrunner |
| RH DL-,0001 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RIB Software AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| RIB Software SE equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RISANAMENTO Banca Akros | Shares where the Member and/or its Group holds more than (A) (*) | | |
| ROB.GL ST.EQ.FD N.V. A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ROB.GL.T.R.BD F.REG.DH EO equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ROCHE HLDG SP.ADR 1/8 | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|------------------------------------|--|----------------|-----------------|
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ROGERS SUGAR INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ROLINCO EO 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ROOD MICROTEC | | | |
| NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RPM INTERN. INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RTL Group | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| RUSHYDRO PAO ADR/100 RL 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| RYERSON HLDG CORP. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Recipharm A. B. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Redefine Properties Limited | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Remgro Jersey GBP Limited | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Remy Cointreau S. A. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Rheinmetall AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| S&T AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SAF-Holland | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| SAGESSE | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Oct-16 | Bookrunner |
| SAIA INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SAINT GOBAIN | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Sep-16 | Bookrunner |
| SALINI IMPREGILO | | | |
| Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| SARACEN MINERAL HLDGS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SBM Offshore | | | |
| NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SCHLOSS WACHENHEIM AG O.N | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SCHNEIDER NATL.INC. CL.B | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SCHUMAG AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SCHWAELBCHEN MOLKERE.O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SCIENT.GAMES A DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SEB S.A. 16/21 ZO CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SECUOYA GRUPO COMUNICACION | | | |
| GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-16 | |
| GVC Gaesco Beka | The Member is Nominated Adviser on AIM | Aug-16 | |
| SEMAPA | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| SENATOR MINERALS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SERGE FERRARI GROUP | | | |
| CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|--|----------------|-----------------|
| SERVICE POINT SOLUTIONS, S.A. GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Dec-16 | |
| SEVEN PRINCIPLES AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SGL CARBON SE O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SHF COMMUNICAT.TECH. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SHF Communication Technologies AG equinet Bank equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SHILOH INDS INC. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SHOPIFY A SUB.VTG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SHUTTERSTOCK INC. DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SIAS Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| SIEGFRIED HL NA SF 2 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SIF HOLDING N.V. EO-,20 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SIGMA HEALTHCARE LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SII CM-CIC Market Solutions CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SILVERCREST MTLs equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SINNER AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SINO ENERGY I.H.GR.HD-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SINO-GERMAN UTD AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SLEEP COUN.CANA.HLDG.INC. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SLIGRO FOOD GROUP NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SLM Solutions Group AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| SMCP S.A.S.(PROM.) EO-,10 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SMT Scharf AG equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SMURFIT KAPPA PLC CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SNOWWORLD NIBC Markets NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| SOFRAGI CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SOFTWARE AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SOLVAY S.A. A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SONAE Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities | | |
| SONAE CAPITAL Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|------------------------------------|--|----------------|-----------------|
| Caixa Banco De Investimento | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| SONAE INDUSTRIA | | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| SOUTHCROSS EN.PART.LP UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SPARTA AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SPIE S.A. EO 0,47 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SPIN MASTER | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SPIR COMMUNICATION | | | |
| CM-CIC Market Solutions | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SPORTTOTAL AG INH. O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ST.GEORGE MINING LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STARPHARMA HOLDINGS LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STARS GRP INC., THE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STEINHOFF INT.HLDG.EO-,50 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STELLA-JONES INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STERN GROEP | | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| STORM RES LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STRATA-X ENERGY LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STRAYER EDUCAT. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| STRIKE ENERGY LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SUEZ | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Apr-17 | Bookrunner |
| SUNDANCE ENERGY AUSTRALIA | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SUPERIOR EN. SVCS DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SUPERIOR PLUS CORP. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SUZLON ENERGY LTD GDR/4 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SYGNIS AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SYMRISE AG INH. O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| SYZGY AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Sanochemia Pharmazeutika AG | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Schwälbchen AG | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Scout24 AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|---|----------------|-----------------|
| Seven Principles AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Siegfried Holding | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Singulus Technologies AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Sirius Minerals Finance Limited | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Software AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Stabilus | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Surteco | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Surteco SE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Symrise | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Syzygy AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Südzucker AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Süss Microtec AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TAG IMMOBILIEN AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TAKKT AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TALLGRASS ENERGY PAR.UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TALTALK | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jan-17 | Bookrunner |
| TANAMI GOLD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TANZANIAN ROYALTY EXPL. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TASMAN RESOURCES LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TCL MULTI.TEC.HLDGS HD 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TELEGRAAF MEDIA GROUP | | | |
| NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| TEN CATE | | | |
| NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| TEN NETWORK HLDGS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TEREOS | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jun-16 | Bookrunner |
| TERNA ENERGY S.A. STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| TERREIS | | | |
| CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| TESSI | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | Feb-17 | Co-Lead Manager |
| THE NAVIGATOR | | | |
| Caixa Banco De Investimento | Shares where the Member and/or its Group holds more than (A) (*) | | |
| Caixa Banco De Investimento | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Caixa Banco De Investimento | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Caixa Banco De Investimento | Any other known Non-Investment Banking Service provided (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group provided debt financing (B) | | |
| Caixa Banco De Investimento | The Member and/or its Group holds a position in debt securities | | |
| THOMAS COOK | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Dec-16 | Bookrunner |
| TIE KINETIX | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|---|----------------|-----------------|
| NIBC Markets | The Member owns a net long or short position exceeding the threshold of 0.5 % of the total issued share capital of the issuer | | |
| NIBC Markets | The Member is party to an agreement with the issuer relating to the production of the recommendation | | |
| NIBC Markets | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TIGER RESOURCES LTD. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TINKA RESOURCES LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TITAN CEMENT COMPANY STOCK FUTURE | | | |
| Investment Bank of Greece | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Aug-17 | |
| TITANIUM CORP. INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TMC CONTENT GR.AG INH.SF1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TMM REAL EST.DEV.GDR S 1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TMM Real Estate Development plc | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| TMX GROUP LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TOD'S | | | |
| Banca Akros | A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company | | |
| TORO CO DL1 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TOUAX 15/20 CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TRACTOR SUPPLY DL-,008 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TRAJANO IBERIA SOCIMI | | | |
| GVC Gaesco Beka | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | Jul-15 | |
| TRI POINTE GRP INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TRICAN WELL SERVICE | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TROVAGENE INC. NEW DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TTL INF. TECHN. AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| TVI PAC. INC. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Talanx Group | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Tantalus Rare Earths AG | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| Technip S. A. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Technotrans AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Telecolumbus | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Telefonica Deutschland | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Telenor East Holding II A.S. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| UBISOFT ENTMT 16/21 ZO CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| UBISOFT Entertainment S. A. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| UMPQUA HLDGS CORP. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| UNIBAIL-ROD.SE 14-21 ZOCV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| UNIBAIL-ROD.SE 15/22ZO CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| UNIBAIL-RODAMCO | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds | Apr-16 | Co-Lead Manager |
| UNICREDIT | | | |
| Banca Akros | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|--|---|----------------|-----------------|
| UNITED LABELS O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| United Internet AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Uzin Utz AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VA-Q-TEC AG NA O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VALEANT PHARMACEUT. INTL equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VALEO CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Jan-17 | Bookrunner |
| VALLOUREC 17/22 CV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VALUE MGMT+RESH INH.O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VBH Holding AG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue | | |
| VDN AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VEOLIA ENVIRON.16/21 ZOCV equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VEOLIA ENVIRONNEMENT CM-CIC Market Solutions | Shares where the Member and/or its Group holds more than (A) (*) | | |
| VERBUND AG INH. A equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VEXIM CM-CIC Market Solutions CM-CIC Market Solutions | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| VICINITY CENTRES LTD equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VINCI CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Apr-17 | Bookrunner |
| VISCOM AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VISIATIV CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | Jun-16 | |
| VISIBILIA EDITORE Banca Akros | Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) | | |
| VITA EDITORIALE Banca Akros Banca Akros | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member is Nominated Adviser on AIM | | |
| VIVANCO GRUPPE AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VIVENDI CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | May-16 | Co-Lead Manager |
| VIVINT SOLAR DL-,01 equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| VOPAK NIBC Markets | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| VTION WIRELESS TECH. AG equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Va-Q-Tec AG equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription | | |
| Valeo S. A. equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| Viscom AG equinet Bank equinet Bank equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement | | |
| Volkswagen AG equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| WALTER MEIER AG NAM. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WANDERER-WERKE AG O.N. equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WASGAU PROD.HAND. NA O.N. | | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|---|--|----------------|-----------------|
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WCM AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| WCM Beteiligungs- und Grundbesitz AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WEBAC HOLDING AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WENDEL | | | |
| CM-CIC Market Solutions | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | Oct-16 | Bookrunner |
| WENDEL 16-19 CV | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WESTERN GAS EQ.PART.UTS | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WILD BUNCH AG O.N. | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WILDHORSE RES.DEV. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WINGSTOP INC. DL-,01 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WINPAK LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WISDOM SPORTS DL-,00025 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| WSP GLOBAL | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Westgrund AG | | | |
| equinet Bank | Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) | | |
| Wilex AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| X-Elio Energy Finance S. A. | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| XENITH BANKSHS DL-625 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| XING | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| YELLOW PAGES LTD | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| ZIOPHARM ONCOLOGY DL-,001 | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| Zalando | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| Zukunftsenergien Wind Deutschland GmbH & Co. KG | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| arsago Grundstücks- und Beteiligungsgesellschaft mbH | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed | | |
| epigenomics AG | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| euromicron AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| manz AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| reconcept 07 Anleihe der Zukunftsenergien Wind Deutschland GmbH & Co. KG | | | |
| equinet Bank | The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed | | |
| technotrans AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| va-Q-tec | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| va-Q-tec AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |
| windeln.de | | | |
| equinet Bank | Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) | | |
| windeln.de AG | | | |
| equinet Bank | Shares where the Member is "Liquidity Provider" or "Market-maker" (**) | | |



List of shares in potential Conflicts of Interest (by issuer)

November 2017

| Company | Conflict Description | Operation Date | ESN Member Role |
|------------------------------|----------------------|-----------------------|---|
| As of 31 October 2017 | | | |
| Legend | | | |
| (all) | (*) | | The % can vary from member to Member and depends on what is compulsory requested by the local law of the country of each Member |
| | (**) | | The Member is compensated through the payment of a fee |
| | (***) | | Where the rule is not specified, the Member was part of the |
| | (C) | | in the coming 3 months |
| Finland | (A) | 5% | |
| | (B) | in the last 12 months | |
| France | (A) | 5% | |
| | (B) | in the last 12 months | |
| Germany | (A) | 3% | |
| | (B) | between 2004 and 2007 | |
| Greece | (A) | 5% | |
| | (B) | in the last 12 months | |
| Italy | (A) | 2% | |
| | (B) | in the last 12 months | |
| Netherlands | (A) | 5% | |
| | (B) | in the last 12 months | |
| Portugal | (A) | 2% | |
| | (B) | in the last 12 months | |
| Spain | (A) | 3% | |
| | (B) | in the last 12 months | |