



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue</b>			
REN	Caixa Banco De Investimento		
<b>Shares of companies part of the Member Group</b>			
BANCO BPM	Banca Akros		
<b>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</b>			
BEST UNION COMPANY	Banca Akros		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
REN	Caixa Banco De Investimento		
TOD'S	Banca Akros		
<b>The Member owns a net long or short position exceeding the threshold of 0.5 % of the total issued share capital of the issuer</b>			
TIE KINETIX	NIBC Markets		
<b>The Member is party to an agreement with the issuer relating to the production of the recommendation</b>			
ACCELL GROUP	NIBC Markets		
ACCYS TECHNOLOGIES	NIBC Markets		
AMSTERDAM COMMODITIES	NIBC Markets		
BATENBURG BEHEER	NIBC Markets		
DPA GROEP	NIBC Markets		
ENVIPCO	NIBC Markets		
HOLLAND COLOURS	NIBC Markets		
ICT AUTOMATISERING	NIBC Markets		
KONINKLIJKE BRILL	NIBC Markets		
NEDAP	NIBC Markets		
NEWAYS ELECTRONICS INTERNATIONAL	NIBC Markets		
ROOD MICROTEC	NIBC Markets		
TIE KINETIX	NIBC Markets		
<b>Shares where the Member and/or its Group holds more than (A) (*)</b>			
ALTRI	Caixa Banco De Investimento		
ANIMA HOLDING	Banca Akros		
BCP	Caixa Banco De Investimento		
BPI	Caixa Banco De Investimento		
CORTICEIRA AMORIM	Caixa Banco De Investimento		
CTT	Caixa Banco De Investimento		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
EIFFAGE	CM-CIC Market Solutions		
GABETTI PROPERTY SOLUTION	Banca Akros		
GROUPE POUJOLAT	CM-CIC Market Solutions	May-15	
JERONIMO MARTINS	Caixa Banco De Investimento		
LANSON-BCC	CM-CIC Market Solutions		
LUZ SAUDE	Caixa Banco De Investimento		
MOTA ENGIL	Caixa Banco De Investimento		
NOS	Caixa Banco De Investimento		
NOVABASE	Caixa Banco De Investimento		
NRJ GROUP	CM-CIC Market Solutions		
PHAROL	Caixa Banco De Investimento		
PRELIOS	Banca Akros		
PREMUDA	Banca Akros		
REN	Caixa Banco De Investimento		
RISANAMENTO	Banca Akros		
SEMAPA	Caixa Banco De Investimento		
SERGE FERRARI GROUP	CM-CIC Market Solutions		
SONAE	Caixa Banco De Investimento		
SONAE CAPITAL	Caixa Banco De Investimento		
THE NAVIGATOR	Caixa Banco De Investimento		
VEOLIA ENVIRONNEMENT	CM-CIC Market Solutions		
<b>Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)</b>			
2G Energy	equinet Bank		
4SC AG	equinet Bank		
AB BIOTICS	GVC Gaesco Beka	Jul-10	
ACOTEL	Banca Akros		
AUTOSTRAD TO-MI	Banca Akros		
AXELERO	Banca Akros		
Aareal Bank AG	equinet Bank		
Adidas AG	equinet Bank		
Adler Modemärkte	equinet Bank		
Adler Real Estate AG	equinet Bank		
Aixtron SE	equinet Bank		
Allianz AG	equinet Bank		
Axel Springer SE	equinet Bank		
BB Biotech AG	equinet Bank		
BIOORGANIC RESEARCH SER	GVC Gaesco Beka	Jan-12	
BMW AG	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
Bayer AG	equinet Bank		
Biotest AG	equinet Bank		
Brenntag AG	equinet Bank		
CARBURES	GVC Gaesco Beka	Mar-12	
CTS Eventim	equinet Bank		
Ceconomy	equinet Bank		
Cenit AG	equinet Bank		
Comdirect bank AG	equinet Bank		
Commerzbank AG	equinet Bank		
Continental AG	equinet Bank		
Corestate S.A.	equinet Bank		
DIGITAL BROS	Banca Akros		
Daimler AG	equinet Bank		
Daldrup & Söhne AG	equinet Bank		
Demire AG	equinet Bank		
Deutsche Bank AG	equinet Bank		
Deutsche EuroShop AG	equinet Bank		
Deutsche Pfandbriefbank AG	equinet Bank		
Deutsche Telekom AG	equinet Bank		
Drillisch AG	equinet Bank		
ENERVIT SPA	Banca Akros		
EXPRIVIA	Banca Akros		
ErlingKlinger AG	equinet Bank		
Elumeo SE	equinet Bank		
Euromicron AG	equinet Bank		
FALCK REWENABLES	Banca Akros		
Ferratum	equinet Bank		
Fielmann AG	equinet Bank		
Freenet AG	equinet Bank		
Fuchs Petrolub AG	equinet Bank		
GASPLUS	Banca Akros		
GFT Technologies AG	equinet Bank		
GRIÑO ECOLOGIC S.A.	GVC Gaesco Beka	Mar-16	
Gerry Weber	equinet Bank		
Gesco AG	equinet Bank		
Gigaset AG	equinet Bank		
Grenke AG	equinet Bank		
HELLA KGaA	equinet Bank		
Hannover Re AG	equinet Bank		
Heidelberger Druck	equinet Bank		
Hornbach Holding	equinet Bank		
Hugo Boss AG	equinet Bank		
Hypoport AG	equinet Bank		
I GRANDI VIAGGI	Banca Akros		
INDUS Holding AG	equinet Bank		
K+S AG	equinet Bank		
KWS Saat SE	equinet Bank		
Leoni AG	equinet Bank		
Linde AG	equinet Bank		
Logwin AG	equinet Bank		
MAX Automation AG	equinet Bank		
MLP AG	equinet Bank		
MTU Aero Engines AG	equinet Bank		
Manz AG	equinet Bank		
Merck KGaA	equinet Bank		
Merkur Bank KGaA	equinet Bank		
Metro Wholesale	equinet Bank		
Münchener Rückversicherung AG	equinet Bank		
NOTORIUS PICTURES	Banca Akros		
Nemetschek AG	equinet Bank		
Nexus AG	equinet Bank		
Norma Group	equinet Bank		
OHB SE	equinet Bank		
OVH Holding AG	equinet Bank		
PSI AG	equinet Bank		
PWO	equinet Bank		
Patrizia AG	equinet Bank		
Pfeiffer Vacuum	equinet Bank		
ProCredit Holding	equinet Bank		
RIB Software AG	equinet Bank		
RTL Group	equinet Bank		
Rheinmetall AG	equinet Bank		
SAF-Holland	equinet Bank		
SIAS	Banca Akros		
SLM Solutions Group AG	equinet Bank		
SMT Scharf AG	equinet Bank		
SYZYGY AG	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
Siegfried Holding	equinet Bank		
Software AG	equinet Bank		
Stabilus	equinet Bank		
Surteco	equinet Bank		
Symrise	equinet Bank		
Südzucker AG	equinet Bank		
Süss Microtec AG	equinet Bank		
TAKKT AG	equinet Bank		
Talanx Group	equinet Bank		
Technotrans AG	equinet Bank		
Telecolumbus	equinet Bank		
Telefonica Deutschland	equinet Bank		
United Internet AG	equinet Bank		
VITA EDITORIALE	Banca Akros		
Viscom AG	equinet Bank		
Volkswagen AG	equinet Bank		
WCM AG	equinet Bank		
Willex AG	equinet Bank		
XING	equinet Bank		
Zalando	equinet Bank		
epigenomics AG	equinet Bank		
va-Q-tec	equinet Bank		
windeln.de	equinet Bank		
<b>Shares where the Member is "Liquidity Provider" or "Market-maker" (**)</b>			
2G Energy AG	equinet Bank		
4SC AG	equinet Bank		
58.COM ADR CL.A2/DL-00001	equinet Bank		
A.A.A.AG ALLG.ANL.VERW	equinet Bank		
AARON'S INC. A DL -,50	equinet Bank		
ABEO	CM-CIC Market Solutions	Oct-16	
ACCELL GROUP	NIBC Markets		
ACCENTRO R.EST.AG O.N.	equinet Bank		
ACCYS TECHNOLOGIES	NIBC Markets		
ACTUANT A DL-,20	equinet Bank		
ADEUNIS	CM-CIC Market Solutions		
ADMIE STOCK FUTURE	Investment Bank of Greece	Aug-17	
ADVA OPT.NETW.SE O.N.	equinet Bank		
ADVANTAGE OIL + GAS LTD	equinet Bank		
AETERNA ZENTARIS INC.	equinet Bank		
AGENNIX AG I.A.	equinet Bank		
AGRARIUS AG	equinet Bank		
AGRARIUS AG INH. O.N.	equinet Bank		
AGRIUM INC.	equinet Bank		
AGROTON PUBLIC LTD GDR 1	equinet Bank		
AKKA TECHNOLOGIES	CM-CIC Market Solutions		
ALACER GOLD CORP.	equinet Bank		
ALACER GOLD CORP. CDIS 1	equinet Bank		
ALARM.COM HOLDINGS INC.	equinet Bank		
ALD EO 1,50	equinet Bank		
ALEXANDER + BALDWIN	equinet Bank		
ALLIANCE RESOURCES LTD.	equinet Bank		
ALLREAL HLDGS NAM SF 50	equinet Bank		
ALON USA PARTNERS UTS	equinet Bank		
ALPHA BANK STOCK FUTURE	Investment Bank of Greece	Aug-17	
ALPHA BANK STOCK OPTION	Investment Bank of Greece	Aug-17	
ALSTRIA OFFICE REIT-AG	equinet Bank		
ALTAGAS LTD	equinet Bank		
ALTRI	Caixa Banco De Investimento		
AM.AXLE + MFG HLDGS DL-01	equinet Bank		
AMBARELLA INC. DL -,00045	equinet Bank		
AMEDISYS INC. DL-,001	equinet Bank		
AMER. SOFTWARE A DL-,10	equinet Bank		
AMERCO DL-,25	equinet Bank		
AMERICAS SILVER	equinet Bank		
AMERIGO RESOURCES LTD	equinet Bank		
AMSTERDAM COMMODITIES	NIBC Markets		
ANACONDA MNG CORP.	equinet Bank		
ANGLO AMERICAN SP.ADR 1/2	equinet Bank		
ANHEUSER-BUSCH INBEV ADR	equinet Bank		
ARC LOG.PART.UTS R.L.P.I.	equinet Bank		
ARCANDOR AG O.N.	equinet Bank		
ARCHROCK PARTNERS LP UTS	equinet Bank		
ARTISAN PART.AS.M.A DL-01	equinet Bank		
ASPEN TECH. INC. DL-,10	equinet Bank		
AT+S AUSTR.T.+SYSTEMT.	equinet Bank		
ATKORE INTL GROUP DL-,01	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
ATOSS SOFTWARE AG	equinet Bank		
AUDI AG O.N.	equinet Bank		
AURIZON HLDGS LTD	equinet Bank		
AUTOCANADA INC.	equinet Bank		
AXIOM MINING CDI 1	equinet Bank		
Ad Pepper media	equinet Bank		
Aixtron SE	equinet Bank		
BACHEM HLDG NA B SF 0,05	equinet Bank		
BAINS MER MONACO EO 1	equinet Bank		
BATENBURG BEHEER	NIBC Markets		
BAUMOT GROUP AG O.N.	equinet Bank		
BAYER AG NA O.N.	equinet Bank		
BB BIOTECH NAM. SF 0,20	equinet Bank		
BBS KRAFTFAHR.TEC.VZO O.N	equinet Bank		
BEIJING ENTERPRIS ENV.GR.	equinet Bank		
BENDIGO + ADELAIDE BK LTD	equinet Bank		
BENITEC BIOPHARMA LTD.	equinet Bank		
BERTRANDT AG O.N.	equinet Bank		
BEST BUY CO. DL-,10	equinet Bank		
BET-AT-HOME.COM AG O.N.	equinet Bank		
BHS TABLETOP AG O.N.	equinet Bank		
BIOCRYST PHARMAC. DL-,01	equinet Bank		
BIOLASE INC. DL -,001	equinet Bank		
BIRIMIAN LTD.	equinet Bank		
BITAUTO HDGS LTD SP.ADR 1	equinet Bank		
BLUE BUFFALO PET.P.DL-,01	equinet Bank		
BLUEBIRD BIO INC. DL-,01	equinet Bank		
BOISE CASCADE CO. DL -,01	equinet Bank		
BOURBON	CM-CIC Market Solutions		
BREVILLE GROUP LTD	equinet Bank		
BRIGHT HOR.FAM.SO.DL-,001	equinet Bank		
BRINKS CO. DL 1	equinet Bank		
BRP INC. SUBORD.VOT. O.N.	equinet Bank		
BRUEDER MANNESM.AG O.N.	equinet Bank		
BRUNEL INTL NV EO -,03	equinet Bank		
Baumot Group AG	equinet Bank		
BayWa AG	equinet Bank		
Biotest AG	equinet Bank		
Biotest AG Vorzugsaktien	equinet Bank		
Brenntag AG	equinet Bank		
C.H. ROB. WORLDWIDE NEW	equinet Bank		
CALIDA HLDG NA SF 0,10	equinet Bank		
CAMPING WORLD CL.A DL-,01	equinet Bank		
CANADA CARBON INC.	equinet Bank		
CANADIAN ZINC CORP.	equinet Bank		
CANFOR CORP.	equinet Bank		
CANICKEL MINING	equinet Bank		
CARA OPERATIONS SUB.VOT.	equinet Bank		
CASCADES INC.	equinet Bank		
CATALIS SE NAM. EO 1	equinet Bank		
CECONOMY AG ST O.N.	equinet Bank		
CECONOMY AG VZO O.N.	equinet Bank		
CELLNOVO	CM-CIC Market Solutions	Jul-15	
CENERGY HOLDINGS STOCK FUTURE	Investment Bank of Greece	Aug-17	
CEOTRONICS AG O.N.	equinet Bank		
CES ENERGY SOLUTIONS	equinet Bank		
CGG SA 12-19 CV	equinet Bank		
CGG SA 15-20 CV	equinet Bank		
CHANNELADVISOR DL-,001	equinet Bank		
CHOICE HOTELS INT. DL-,01	equinet Bank		
CIECH S.A. ZY 5	equinet Bank		
CINER RESOURCES UTS	equinet Bank		
CLEANAWAY WASTE MNGMT	equinet Bank		
CLEARFIELD INC. DL-01	equinet Bank		
CLEARWATER PAPER DL-,0001	equinet Bank		
CLEVER GLOBAL	GVC Gaesco Beka	Dec-16	
CLOUD PEAK ENERGY DL-,01	equinet Bank		
COCA COLA HBC STOCK FUTURE	Investment Bank of Greece	Aug-17	
COFIDUR	CM-CIC Market Solutions		
COFINA	Caixa Banco De Investimento		
COGNIZANT TECH. SOL.A	equinet Bank		
COMPUGROUP MED.SE O.N.	equinet Bank		
CONTIN.BLDG PRODS DL-,001	equinet Bank		
CONTINENTAL AG O.N.	equinet Bank		
CORESTATE CAPITAL HLDG	equinet Bank		
COSTAR GROUP INC. DL-,01	equinet Bank		
COTT CORP.	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
CPI PROPERTY GRP EO-,10	equinet Bank		
CREDIT AGRI. 16/19 ZO CV	equinet Bank		
CREDIT SUISSE GP AG ADR 1	equinet Bank		
CTAC	NIBC Markets		
CVR REFINING LP UTS	equinet Bank		
CYPRESS ENERGY PART.UTS	equinet Bank		
CYTOTOOLS O.N.	equinet Bank		
Constantin Medien AG	equinet Bank		
Corestate Capital Holding SA	equinet Bank		
CytoTools AG	equinet Bank		
DACIAN GOLD LTD	equinet Bank		
DALDRUP+SOEHNE AG	equinet Bank		
DATA MODUL AG O.N.	equinet Bank		
DAVIDSTEA INC.	equinet Bank		
DBV TECHNOLOGIES EO -,10	equinet Bank		
DELFINGEN	CM-CIC Market Solutions	Dec-12	
DEMIRE Deutsche Mittelstand Real Estate AG	equinet Bank		
DENISON MINES CORP.	equinet Bank		
DEUTSCHE EUROSHOP NA O.N.	equinet Bank		
DEUTSCHE WOHNEN SE INH	equinet Bank		
DF Deutsche Forfait AG	equinet Bank		
DIAMOND OFFSHORE DRILLING	equinet Bank		
DIC ASSET AG NA O.N.	equinet Bank		
DIRECT ENERGIE	CM-CIC Market Solutions	Jun-12	
DOM SECURITY	CM-CIC Market Solutions		
DOMINION DIAMOND CORP.	equinet Bank		
DOMINOS PIZZA ENTERPR.LTD	equinet Bank		
DOMTAR CORP. NEW DL-,01	equinet Bank		
DPA GROEP	NIBC Markets		
DRDGOLD LTD	equinet Bank		
DRDGOLD LTD. RC 1 ADR/10	equinet Bank		
DRILLISCH AG O.N.	equinet Bank		
DT.REAL ESTATE AG O.N.	equinet Bank		
DUTY FREE SHOPS STOCK FUTURE	Investment Bank of Greece	Aug-17	
DXP ENTERPRISES DL-,01	equinet Bank		
Daldrup & Söhne AG	equinet Bank		
Delivery Hero AG	equinet Bank		
EAGLE ENERGY INC.	equinet Bank		
EASTMAIN RES INC.	equinet Bank		
ECHELON CORP. NEW DL-,01	equinet Bank		
ECHO GLOBAL LOG. DL-,0001	equinet Bank		
EHOSTAR CORP. A DL -,001	equinet Bank		
ECOSLOPS	CM-CIC Market Solutions		
EDEL AG O.N.	equinet Bank		
EDGE THERAPEUTICS INC	equinet Bank		
EDGEWELL PERS.CARE DL-,01	equinet Bank		
EFG EUROBANK ERGASIAS STOCK FUTURE	Investment Bank of Greece	Aug-17	
EISEN- U.HUETTENWERKE	equinet Bank		
ELEC + ELTEK INTL SD-,80	equinet Bank		
ELIS S.A. EO 1,-	equinet Bank		
ELLAKTOR S.A. (ex ELLINIKI TECNODOMIKI TEB) STOCK FUTURE	Investment Bank of Greece	Aug-17	
ELRINGKLINGER AG NA O.N.	equinet Bank		
EMOVA	CM-CIC Market Solutions		
ENSIGN ENERGY SERVICES	equinet Bank		
ENSYNC INC.	equinet Bank		
ENVIPCO	NIBC Markets		
EPLUS INC. DL-,01	equinet Bank		
ERAMET 16-UND. CV FLR	equinet Bank		
ESI GROUP	CM-CIC Market Solutions		
ESSENDANT INC. DL-10	equinet Bank		
EUROESPES	GVC Gaesco Beka	Apr-15	
EUROKAI KGAA VZO	equinet Bank		
EUROMICRON AG NA O.N.	equinet Bank		
EURONA WIRELESS TELECOM	GVC Gaesco Beka	Aug-16	
EURONEXT N.V. WI EO 1,60	equinet Bank		
EUROPCAR GROUPE SA A EO 1	equinet Bank		
EUROPEAN ASSETS TRUST	NIBC Markets		
EVERTEC INC.	equinet Bank		
EVOLENT HEALTH A DL-,01	equinet Bank		
EVOLIS	CM-CIC Market Solutions	Nov-11	
EXPRESS INC. DL-,01	equinet Bank		
EYEMAXX R. EST. AG	equinet Bank		
FABASOFT AG	equinet Bank		
FACEPHI BIOMETRIA	GVC Gaesco Beka	Jun-15	
FAR LTD.	equinet Bank		
FIGEAC AERO 17/22 CV	equinet Bank		
FISSION URANIUM CORP.	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
FLEURY MICHON	CM-CIC Market Solutions		
FLEXIGROUP LTD	equinet Bank		
FLOW TRADERS N.V. EO -,10	equinet Bank		
FONCIERE ATLAND	CM-CIC Market Solutions		
FONCIERE REG 13-19 CV	equinet Bank		
FORIS AG	equinet Bank		
FORTEC ELEKTRO. O.N.	equinet Bank		
FORW.PHARMA A/S SP.ADR /2	equinet Bank		
FREENET AG NA O.N.	equinet Bank		
FROELICH BAU AG VZO I.A.	equinet Bank		
FTSE/ASE LARGE CAP FUTURE	Investment Bank of Greece	Aug-17	
FTSE/ASE LARGE CAP OPTION	Investment Bank of Greece	Aug-17	
FUNKWERK O.N.	equinet Bank		
FUTUREN 07-41 CV FLR	equinet Bank		
First Sensor AG	equinet Bank		
Freenet AG	equinet Bank		
Fyber N.V.	equinet Bank		
GALP ENERGIA	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
GALWAY GOLD	equinet Bank		
GAZTRANSP.TECHNIG.EO-,01	equinet Bank		
GBK Beteiligungen AG	equinet Bank		
GEA GROUP AG	equinet Bank		
GEK STOCK FUTURE	Investment Bank of Greece	Aug-17	
GENFIT	CM-CIC Market Solutions		
GENOCEA BIOSCIENC.DL-,001	equinet Bank		
GENOMIC VISION	CM-CIC Market Solutions	Sep-07	
GENWORTH MORTG.INS.AUSTR.	equinet Bank		
GEPARK LTD. DL -,001	equinet Bank		
GFT Technologies SE	equinet Bank		
GL EVENTS	CM-CIC Market Solutions		
GLOBAL BL.THERAP. DL-,01	equinet Bank		
GLOBALSTAR INC. DL -,0001	equinet Bank		
GOLD RESERVE INC. A	equinet Bank		
GOLDEN GOLIATH RES.	equinet Bank		
GOLDEN REIGN RES.	equinet Bank		
GREENLAND HK HLDGS HD-,50	equinet Bank		
GRIFOLS SP.ADR B EO-,10 1	equinet Bank		
GRIVALIA PROPERTIES (ex EURO BANK PROPERTIES REAL ESTATE INVESTMENT COMPANY) STOCK FUTURE	Investment Bank of Greece	Aug-17	
GROUPE OPEN	CM-CIC Market Solutions	Jan-16	
GROUPE PARTOUCHE	CM-CIC Market Solutions		
GULF ISLAND FABRICATION	equinet Bank		
GUOLIAN SECS CO.LTD H YC1	equinet Bank		
GWB IMMOBILIEN INH. O.N.	equinet Bank		
Gesco AG	equinet Bank		
Gigaset AG	equinet Bank		
H+R KGAA INH. O.N.	equinet Bank		
HANN.ARM.SUS.INF.CA.DL-01	equinet Bank		
HARSCO CORP. DL 1,25	equinet Bank		
HAVILAH RESOURCES LTD.	equinet Bank		
HAWESKO HOLDING AG SVG	equinet Bank		
HEADFIRST SOURCE GROUP	NIBC Markets		
HECLA MNG DL-,25	equinet Bank		
HELLENIC EXCHANGES STOCK FUTURE	Investment Bank of Greece	Aug-17	
HELLENIC PETROLEUM STOCK FUTURE	Investment Bank of Greece	Aug-17	
HELLENIC TELECOM.ORGANISATION STOCK FUTURE	Investment Bank of Greece	Aug-17	
HELLENIC TELECOM.ORGANISATION STOCK OPTION	Investment Bank of Greece	Aug-17	
HF COMPANY	CM-CIC Market Solutions		
HIGHLDS PACIFIC KI-,40	equinet Bank		
HOLLAND COLOURS	NIBC Markets		
HORIZON NORTH LOGISTICS	equinet Bank		
HORN BACH HOLD.ST O.N.	equinet Bank		
HYDROGENICS CORP.	equinet Bank		
HYFLUX LTD	equinet Bank		
Hapag Lloyd AG	equinet Bank		
Heidelberg Pharma AG	equinet Bank		
IAMGOLD CORP.	equinet Bank		
IBERSOL	Caixa Banco De Investimento		
ICT AUTOMATISERING	NIBC Markets		
IDENTIV INC. DL-,001	equinet Bank		
IFA HOTEL U.TOURISTI.O.N.	equinet Bank		
IMMOFINANZ 11/18 CV	equinet Bank		
INDRA	GVC Gaesco Beka	Jul-14	
ING GP NV SP.ADR/1 EO-,24	equinet Bank		
INGENICO GRP 15/22 CV	equinet Bank		
INSTRUCTURE INC. DL-,0001	equinet Bank		
INTER PARFUMS INC. DL-001	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
INTERCEPT PHARMAC.DL-,001	equinet Bank		
INTERPARFUMS S.A.INH.EO 3	equinet Bank		
INTERTAPE POLYMER GRP	equinet Bank		
INTICA SYSTEMS AG	equinet Bank		
INTRALOT STOCK FUTURE	Investment Bank of Greece	Aug-17	
INVISION AG	equinet Bank		
IVANHOE MINES A	equinet Bank		
IVU Traffic Technologies AG	equinet Bank		
Innogy SE	equinet Bank		
Isra Vision Systems AG	equinet Bank		
JUBII EUROPE N.V.B EO-,01	equinet Bank		
JUMBO S.A. STOCK FUTURE	Investment Bank of Greece	Aug-17	
KAP BETEILIGUNGS-AG O.N.	equinet Bank		
KAR AUCTION SERVICES INC.	equinet Bank		
KELT EXPLORATION LTD	equinet Bank		
KENDRION	NIBC Markets		
KENNADY DIAMONDS INC.	equinet Bank		
KEYRUS	CM-CIC Market Solutions		
KHD HUMB.WEDAG VV NA O.N.	equinet Bank		
KINGSW.FIN.SRVCS INC. NEW	equinet Bank		
KOENIG + BAUER AG ST O.N.	equinet Bank		
KOMAX HLDG NA SF 0,10	equinet Bank		
KONINKLIJKE BRILL	NIBC Markets		
KORIAN 17-UND. CV FLR	equinet Bank		
KOSMOS ENERGY LTD	equinet Bank		
LADDER CAP.CORP.A DL-,001	equinet Bank		
LAUREATE EDUCATION CL.A	equinet Bank		
LEGEND HLDGS CORP. H YC 1	equinet Bank		
LEONI AG NA O.N.	equinet Bank		
LEVON RES LTD	equinet Bank		
LIFE HEALTHCARE GR.HLDGS	equinet Bank		
LLEIDANETWORKS SERVEIS TELEMATICS	GVC Gaesco Beka	Sep-15	
LUCAS BOLS	NIBC Markets		
LUDW.BECK A.RATHAUSECK	equinet Bank		
LUMOS NETWORKS DL-,01	equinet Bank		
LYNAS CORP. LTD	equinet Bank		
LYONDELLBAS.IND.A EO -,04	equinet Bank		
Logwin AG	equinet Bank		
M.A.X. Automation AG	equinet Bank		
MAANSHAN IRON STEEL H YC1	equinet Bank		
MAG SILVER CORP.	equinet Bank		
MAGIC SOFTWARE ENT.IS-,01	equinet Bank		
MAISONS FRANCE	CM-CIC Market Solutions		
MALIBU BOATS INC.A DL-,01	equinet Bank		
MARIN SOFTWARE DL -,001	equinet Bank		
MATRIX SERV. CO. DL-,01	equinet Bank		
MATTHEWS INTL CORP.A DL 1	equinet Bank		
MAUREL ET PROM 15-21 CV	equinet Bank		
MEADOW BAY GOLD NEW	equinet Bank		
MEDNAX INC. DL-,01	equinet Bank		
MEDX HEALTH CORP.	equinet Bank		
MELIÁ HOTELS INTERNATIONAL, S.A.	GVC Gaesco Beka	Feb-17	
MEMSCAP	CM-CIC Market Solutions		
MERCAL INMUEBLES SOCIMI	GVC Gaesco Beka	Aug-16	
METABOLIC EXPLORER	CM-CIC Market Solutions		
METRO AG	equinet Bank		
METRO AG ST O.N.	equinet Bank		
METRO AG VZO O.N.	equinet Bank		
MIDDLEBY CORP. DL-,01	equinet Bank		
MITEL NETWORKS CORP.	equinet Bank		
MIX TELEMATICS SP.ADR 25	equinet Bank		
MLP AG	equinet Bank		
MOLSON COORS B DL 0,01	equinet Bank		
MOMENTA PHARMAC. DL-,0001	equinet Bank		
MONTANA EXPLORATION CORP.	equinet Bank		
MOTOR OIL STOCK FUTURE	Investment Bank of Greece	Aug-17	
MS INDUSTRIE AG	equinet Bank		
MTU Aero Engines Hold	equinet Bank		
MJELLER-DIE LILA LOGISTIK	equinet Bank		
MVISE AG O.N.	equinet Bank		
MYOVANT SCIENC. DL-,00001	equinet Bank		
MYTILINEOS HOLDINGS STOCK FUTURE	Investment Bank of Greece	Aug-17	
Merkur Bank KGaA	equinet Bank		
Muehlhan AG	equinet Bank		
NAGAMBIE RESOURCES LTD.	equinet Bank		
NANOFOCUS O.N.	equinet Bank		
NATIONAL BANK OF GREECE STOCK FUTURE	Investment Bank of Greece	Aug-17	



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
NATIONAL BANK OF GREECE STOCK OPTION	Investment Bank of Greece	Aug-17	
NATL OILWELL VARCO DL-,01	equinet Bank		
NAVIGATOR HLDGS PLC	equinet Bank		
NAVITAS LTD	equinet Bank		
NBI BEARINGS EUROPE	GVC Gaesco Beka	Apr-15	
NEDAP	NIBC Markets		
NEOPHOTONICS CORP. DL-,01	equinet Bank		
NEOPOST 15-UND. CV FLR	equinet Bank		
NESTLE NAM. ADR/1 SF 1	equinet Bank		
NEURON BIO	GVC Gaesco Beka	Aug-16	
NEURONES	CM-CIC Market Solutions	Feb-17	
NEW HOME CO. INC. DL -,01	equinet Bank		
NEWALTA CORP.	equinet Bank		
NEWAYS ELECTRONICS INTERNATIONAL	NIBC Markets		
NEWPARK RES DL-,01	equinet Bank		
NEXITY 16-23 CV	equinet Bank		
NIKO RESOURCES LTD.	equinet Bank		
NORTH ATL.DRI.N.POSTDL-10	equinet Bank		
NORTHERN DYNASTY MINLS	equinet Bank		
NORTHLAND POWER INC.	equinet Bank		
NORTHWESTERN NEW DL-,01	equinet Bank		
NOS	Caixa Banco De Investimento		
NOVAGOLD RES	equinet Bank		
NOVISOURCE	NIBC Markets		
NOVO LITIO LTD	equinet Bank		
NUCOR CORP. DL-,40	equinet Bank		
NUERNBERGER BET.AG VNA	equinet Bank		
NYRSTAR	equinet Bank		
Nanogate AG	equinet Bank		
NorCom Information Technology AG	equinet Bank		
OBSIDIAN ENERGY	equinet Bank		
OBSIDO SOCIMI	GVC Gaesco Beka	Aug-16	
OCEANEERG INTL INC.DL-,25	equinet Bank		
OCH-ZIFF CAPITAL MAN.CL A	equinet Bank		
OHB SE O.N.	equinet Bank		
OLL.BARG.OUTL.HLD.DL-,001	equinet Bank		
ONTEX GROUP NV EO -,01	equinet Bank		
ONXEO	CM-CIC Market Solutions		
OPAP STOCK FUTURE	Investment Bank of Greece	Aug-17	
OPAP STOCK OPTION	Investment Bank of Greece	Aug-17	
OPENLIMIT HLDG INH. SF-30	equinet Bank		
ORBOTECH LTD IS -,0014	equinet Bank		
OSISKO GOLD ROYALT.	equinet Bank		
OSMOZIS	CM-CIC Market Solutions		
OSRAM Licht AG	equinet Bank		
OTTER TAIL DL 5	equinet Bank		
OVB Holding AG	equinet Bank		
PAION O.N	equinet Bank		
PALADIN ENERGY LTD.	equinet Bank		
PANORAMIC RES LTD	equinet Bank		
PARAMOUNT RES LTD CLASS A	equinet Bank		
PARK ELEKTROCHEM. DL-,10	equinet Bank		
PARK U.BELLHEIMER AG O.N.	equinet Bank		
PASSAT	CM-CIC Market Solutions		
PATRIZIA IMMOBILIEN NA ON	equinet Bank		
PATTERS.-UTI DL-,01	equinet Bank		
PBF ENERGY INC. CL.A	equinet Bank		
PENGROWTH ENERGY	equinet Bank		
PENNEY -JC- CO. DL-,50	equinet Bank		
PETMED EXPRES.INC DL-,001	equinet Bank		
PFERDEWETTEN.DE AG	equinet Bank		
PHILLIPS 66 PRT. LP UTS	equinet Bank		
PIERRE ET VACANC.14-19 CV	equinet Bank		
PINE CLIFF ENERGY	equinet Bank		
PIRAEUS BANK STOCK FUTURE	Investment Bank of Greece	Aug-17	
PIRAEUS BANK STOCK OPTION	Investment Bank of Greece	Aug-17	
PIRAEUS PORT AUTHORITY S.A. STOCK FUTURE	Investment Bank of Greece	Aug-17	
PLAINS ALL AMER. P. DL-,1	equinet Bank		
PLANET PAYMENT DL-,01	equinet Bank		
PLAZZA AG NAM. A SF-,50	equinet Bank		
POLARIS INDS INC. DL-,01	equinet Bank		
POOL CORP. DL-,001	equinet Bank		
PORSCHE AUTOM.HLDG VZO	equinet Bank		
POWELL IND. INC. DL -,01	equinet Bank		
PRAIRIESKY ROYALTY LTD	equinet Bank		
PRINC.PR.EQ.HLDGS EO-,001	equinet Bank		
PROCREDIT HLDG AG NA EO 5	equinet Bank		





# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
PROGRESS-WERK OBERK. O.N.	equinet Bank		
PROVIDENCE SRVC DL-,001	equinet Bank		
PSI AG	equinet Bank		
PTC THERAPEUTICS DL-,001	equinet Bank		
PUBLIC POWER CORP. STOCK FUTURE	Investment Bank of Greece	Aug-17	
PUBLIC POWER CORP. STOCK OPTION	Investment Bank of Greece	Aug-17	
PUMA SE	equinet Bank		
PURA VIDA ENERGY NL	equinet Bank		
PVA TePla AG	equinet Bank		
ProCredit Holding AG	equinet Bank		
Progress-Werk Oberkirch AG	equinet Bank		
QUINTIS LTD	equinet Bank		
R. STAHL AG NA O.N.	equinet Bank		
RADISYS CORP.	equinet Bank		
RAGING RIVER EXPLORATION	equinet Bank		
RALLYE 13-20 CV	equinet Bank		
RED ROCK RESORTS A DL-,01	equinet Bank		
REGENERON PHARMAC.DL-,001	equinet Bank		
RELX N.V. ADRS EO-,07	equinet Bank		
REMY COINTREAU 16/26 CV	equinet Bank		
REPLIGEN CORP. DL-,01	equinet Bank		
RH DL-,0001	equinet Bank		
RIB Software SE	equinet Bank		
ROB.GL ST.EQ.FD N.V. A	equinet Bank		
ROB.GL.T.R.BD F.REG.DH EO	equinet Bank		
ROCHE HLDG SP.ADR 1/8	equinet Bank		
ROGERS SUGAR INC.	equinet Bank		
ROLINCO EO 1	equinet Bank		
ROOD MICROTEC	NIBC Markets		
RPM INTERN. INC. DL-,01	equinet Bank		
RUSHYDRO PAO ADR/100 RL 1	equinet Bank		
RYERSON HLDG CORP. DL-,01	equinet Bank		
S&T AG	equinet Bank		
SAIA INC. DL-,01	equinet Bank		
SARACEN MINERAL HLDGS	equinet Bank		
SCHLOSS WACHENHEIM AG O.N	equinet Bank		
SCHNEIDER NATL.INC. CL.B	equinet Bank		
SCHUMAG AG O.N.	equinet Bank		
SCHWALBCHEN MOLKERE.O.N.	equinet Bank		
SCIENT.GAMES A DL-,01	equinet Bank		
SEB S.A. 16/21 ZO CV	equinet Bank		
SECUOYA GRUPO COMUNICACION	GVC Gaesco Beka	Aug-16	
SENATOR MINERALS	equinet Bank		
SERVICE POINT SOLUTIONS, S.A.	GVC Gaesco Beka	Dec-16	
SEVEN PRINCIPLES AG O.N.	equinet Bank		
SGL CARBON SE O.N.	equinet Bank		
SHF COMMUNICAT.TECH.	equinet Bank		
SHF Communication Technologies AG	equinet Bank		
SHILOH INDS INC. DL-,01	equinet Bank		
SHOPIFY A SUB.VTG	equinet Bank		
SHUTTERSTOCK INC. DL-,01	equinet Bank		
SIEGFRIED HL NA SF 2	equinet Bank		
SIF HOLDING N.V. EO-,20	equinet Bank		
SIGMA HEALTHCARE LTD	equinet Bank		
SII	CM-CIC Market Solutions		
SILVERCREST MTLs	equinet Bank		
SINNER AG O.N.	equinet Bank		
SINO ENERGY I.H.GR.HD-,10	equinet Bank		
SINO-GERMAN UTD AG O.N.	equinet Bank		
SLEEP COUN.CANA.HLDG.INC.	equinet Bank		
SMCP S.A.S.(PROM.) EO-,10	equinet Bank		
SMT Scharf AG	equinet Bank		
SNOWWORLD	NIBC Markets		
SOFRAGI	CM-CIC Market Solutions		
SOFTWARE AG NA O.N.	equinet Bank		
SOLVAY S.A. A	equinet Bank		
SONAE CAPITAL	Caixa Banco De Investimento		
SOUTHCROSS EN.PART.LP UTS	equinet Bank		
SPARTA AG O.N.	equinet Bank		
SPIE S.A. EO 0,47	equinet Bank		
SPIN MASTER	equinet Bank		
SPIR COMMUNICATION	CM-CIC Market Solutions		
SPORTTOTAL AG INH. O.N.	equinet Bank		
ST.GEORGE MINING LTD	equinet Bank		
STARPHARMA HOLDINGS LTD.	equinet Bank		
STARS GRP INC., THE	equinet Bank		
STEINHOFF INT.HLDG.EO-,50	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
STELLA-JONES INC.	equinet Bank		
STERN GROEP	NIBC Markets		
STORM RES LTD	equinet Bank		
STRATA-X ENERGY LTD	equinet Bank		
STRAYER EDUCAT. DL-,01	equinet Bank		
STRIKE ENERGY LTD.	equinet Bank		
SUNDANCE ENERGY AUSTRALIA	equinet Bank		
SUPERIOR EN. SVCS DL-,001	equinet Bank		
SUPERIOR PLUS CORP.	equinet Bank		
SUZLON ENERGY LTD GDR/4	equinet Bank		
SYGNIS AG	equinet Bank		
SYMRISE AG INH. O.N.	equinet Bank		
Scout24 AG	equinet Bank		
Seven Principles AG	equinet Bank		
Singulus Technologies AG	equinet Bank		
Surteco SE	equinet Bank		
Syzygy AG	equinet Bank		
Süss Microtec AG	equinet Bank		
TAG IMMOBILIEN AG	equinet Bank		
TAKKT AG	equinet Bank		
TALLGRASS ENERGY PAR.UTS	equinet Bank		
TANAMI GOLD	equinet Bank		
TANZANIAN ROYALTY EXPL.	equinet Bank		
TASMAN RESOURCES LTD.	equinet Bank		
TCL MULTI.TEC.HLDGS HD 1	equinet Bank		
TEN NETWORK HLDGS	equinet Bank		
TERNA ENERGY S.A. STOCK FUTURE	Investment Bank of Greece	Aug-17	
TIE KINETIX	NIBC Markets		
TIGER RESOURCES LTD.	equinet Bank		
TINKA RESOURCES LTD	equinet Bank		
TITAN CEMENT COMPANY STOCK FUTURE	Investment Bank of Greece	Aug-17	
TITANIUM CORP. INC.	equinet Bank		
TMC CONTENT GR.AG INH.SF1	equinet Bank		
TMM REAL EST.DEV.GDR S 1	equinet Bank		
TMX GROUP LTD	equinet Bank		
TORO CO DL1	equinet Bank		
TOUAX 15/20 CV	equinet Bank		
TRACTOR SUPPLY DL-,008	equinet Bank		
TRAJANO IBERIA SOCIMI	GVC Gaesco Beka	Jul-15	
TRI POINTE GRP INC.DL-,01	equinet Bank		
TRICAN WELL SERVICE	equinet Bank		
TROVAGENE INC.NEW DL-,001	equinet Bank		
TTL INF. TECHN. AG O.N.	equinet Bank		
TVI PAC. INC.	equinet Bank		
UBISOFT ENTMT 16/21 ZO CV	equinet Bank		
UMPQUA HLDGS CORP.	equinet Bank		
UNIBAIL-ROD.SE 14-21 ZOCV	equinet Bank		
UNIBAIL-ROD.SE 15/22ZO CV	equinet Bank		
UNITED LABELS O.N.	equinet Bank		
Uzin Utz AG	equinet Bank		
VA-Q-TEC AG NA O.N.	equinet Bank		
VALEANT PHARMACEUT. INTL	equinet Bank		
VALLOUREC 17/22 CV	equinet Bank		
VALUE MGMT+RESH INH.O.N.	equinet Bank		
VDN AG O.N.	equinet Bank		
VEOLIA ENVIRON.16/21 ZOCV	equinet Bank		
VERBUND AG INH. A	equinet Bank		
VICINITY CENTRES LTD	equinet Bank		
VISCOM AG O.N.	equinet Bank		
VIVANCO GRUPPE AG	equinet Bank		
VIVINT SOLAR DL-,01	equinet Bank		
VTION WIRELESS TECH. AG	equinet Bank		
Viscom AG	equinet Bank		
WALTER MEIER AG NAM.	equinet Bank		
WANDERER-WERKE AG O.N.	equinet Bank		
WASGAU PROD.HAND. NA O.N.	equinet Bank		
WCM Beteiligungs- und Grundbesitz AG	equinet Bank		
WEBAC HOLDING AG	equinet Bank		
WENDEL 16-19 CV	equinet Bank		
WESTERN GAS EQ.PART.UTS	equinet Bank		
WILD BUNCH AG O.N.	equinet Bank		
WILDHORSE RES.DEV. DL-,01	equinet Bank		
WINGSTOP INC. DL-,01	equinet Bank		
WINPAK LTD	equinet Bank		
WISDOM SPORTS DL-,00025	equinet Bank		
WSP GLOBAL	equinet Bank		
XENITH BANKSHS DL-625	equinet Bank		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
YELLOW PAGES LTD	equinet Bank		
ZIOPHARM ONCOLOGY DL-,001	equinet Bank		
epigenomics AG	equinet Bank		
euromicron AG	equinet Bank		
manz AG	equinet Bank		
technotrans AG	equinet Bank		
va-Q-tec AG	equinet Bank		
windeln.de AG	equinet Bank		
<b>Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)</b>			
DIGITAL MAGIC	Banca Akros		
VISIBILIA EDITORE	Banca Akros		
<b>The Member is Nominated Adviser on AIM</b>			
CATENON	GVC Gaesco Beka	Aug-16	
EUROESPES	GVC Gaesco Beka	Aug-16	
GAMBERO ROSSO	Banca Akros		
GPI	Banca Akros		
GRIÑO ECOLOGIC S.A.	GVC Gaesco Beka	Aug-16	
INDUSTRIAL STARS OF ITALY 3	Banca Akros		
LLEIDANETWORKS SERVEIS TELEMATICS	GVC Gaesco Beka	Aug-16	
NBI BEARINGS EUROPE	GVC Gaesco Beka	Aug-16	
NEOL BIOSOLUTIONS	GVC Gaesco Beka	Aug-16	
NEURON BIO	GVC Gaesco Beka	Aug-16	
NOTORIUS PICTURES	Banca Akros		
OBSIDO SOCIMI	GVC Gaesco Beka	Aug-16	
ORSERO	Banca Akros		
SECUOYA GRUPO COMUNICACION	GVC Gaesco Beka	Aug-16	
VITA EDITORIALE	Banca Akros		
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription</b>			
BASIC-FIT	NIBC Markets		
COMPAGNIE AGRICOLE DE LA CRAU	CM-CIC Market Solutions	Feb-16	
DOBANK	Banca Akros		
ENAV	Banca Akros		
ENDESA	GVC Gaesco Beka	Nov-14	
Elumeo AG	equinet Bank		
Ferratum Oyi	equinet Bank		
INDEL B	Banca Akros		
INDUSTRIAL STARS OF ITALY 3	Banca Akros		
KAMUX	Op Corporate Bank		
LEHTO GROUP	Op Corporate Bank		
PIRELLI	Banca Akros		
SLM Solutions Group AG	equinet Bank		
VIVENDI	CM-CIC Market Solutions	May-16	Co-Lead Manager
Va-Q-Tec AG	equinet Bank		
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement</b>			
BANCA FARMAFACTORING	Banca Akros		
EDP	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
GESCO AG	equinet Bank		
KTG Energie GmbH	equinet Bank		
MOTA ENGIL	Caixa Banco De Investimento		
Manz AG	equinet Bank		
Nexus AG	equinet Bank		
REN	Caixa Banco De Investimento		
RIB Software AG	equinet Bank		
TESSI	CM-CIC Market Solutions	Feb-17	Co-Lead Manager
VISIATIV	CM-CIC Market Solutions	Jun-16	
Viscom AG	equinet Bank		
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue</b>			
BCP	Caixa Banco De Investimento		
CLEVER GLOBAL	GVC Gaesco Beka	Aug-16	
DF Deutsche Forfait AG	equinet Bank		
DOGI INTERNATIONAL FABRICS	GVC Gaesco Beka	Jul-15	
EDP	Caixa Banco De Investimento		
ELTEL	Op Corporate Bank		
First Sensor AG	equinet Bank		
Gigaset AG	equinet Bank		
ILSOLE24ORE	Banca Akros		
INNOVAITALY 1	Banca Akros		
LLEIDANETWORKS SERVEIS TELEMATICS	GVC Gaesco Beka	Sep-15	
MASMOVIL IBERCOM	GVC Gaesco Beka	Aug-16	
MOTA ENGIL	Caixa Banco De Investimento		
NBI BEARINGS EUROPE	GVC Gaesco Beka	Apr-15	
REN	Caixa Banco De Investimento		
SONAE INDUSTRIA	Caixa Banco De Investimento		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
SONAE INDUSTRIA	Caixa Banco De Investimento		
Tantalus Rare Earths AG	equinet Bank		
UNICREDIT	Banca Akros		
VBH Holding AG	equinet Bank		
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds</b>			
EDP	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
SONAE	Caixa Banco De Investimento		
UNIBAIL-RODAMCO	CM-CIC Market Solutions	Apr-16	Co-Lead Manager
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed</b>			
ACCOR	CM-CIC Market Solutions	Jan-17	Bookrunner
AIR France KLM	CM-CIC Market Solutions	Oct-16	Bookrunner
AIR LIQUIDE	CM-CIC Market Solutions	Jun-16	Bookrunner
APRR (AUTOROUTES PARIS RHIN RHONE)	CM-CIC Market Solutions	Nov-16	Bookrunner
ASF	CM-CIC Market Solutions	Apr-17	Bookrunner
ATLANTIA	Banca Akros		
ATOS	CM-CIC Market Solutions	Sep-16	Bookrunner
Air Berlin Finance B.V.	equinet Bank		
BCP	Caixa Banco De Investimento		
BE Semiconductor Industries N. V.	equinet Bank		
BUREAU VERITAS S.A.	CM-CIC Market Solutions	Sep-16	Bookrunner
CARGOTEC	Op Corporate Bank		
CAVERION	Op Corporate Bank		
CONTINENTAL	CM-CIC Market Solutions	Nov-16	Co-Lead Manager
CRAMO	Op Corporate Bank		
Celeo Fotovoltaico S. A.	equinet Bank		
Deutsche Bildung Studienfonds II GmbH & Co. KG	equinet Bank		
Deutscher Studenten Wohn Bond I S.A.	equinet Bank		
EDF	CM-CIC Market Solutions	Oct-16	Bookrunner
EDP	Caixa Banco De Investimento		
EDP	Caixa Banco De Investimento		
ELISA	Op Corporate Bank		
ENGIE	CM-CIC Market Solutions	Mar-17	Bookrunner
ERAMET	CM-CIC Market Solutions	Sep-16	Bookrunner
FONCIERE DES REGIONS	CM-CIC Market Solutions	May-16	Bookrunner
FRESENUM	CM-CIC Market Solutions	Jan-17	Bookrunner
FROMAGERIES BEL	CM-CIC Market Solutions	Apr-17	Bookrunner
FUGRO N. V.	equinet Bank		
Freund & Partner GmbH	equinet Bank		
Fußballclub Gelsenkirchen-Schalke 04 e.V.	equinet Bank		
GALP ENERGIA	Caixa Banco De Investimento		
GECINA	CM-CIC Market Solutions	Sep-16	Bookrunner
GEWA 5 to 1 GmbH & Co. KG	equinet Bank		
GN Store Nord A/S	equinet Bank		
GROUPE FNAC SA	CM-CIC Market Solutions	Sep-16	Bookrunner
GROUPE PSA	CM-CIC Market Solutions	Mar-17	Bookrunner
Groupe Bruxelles Lambert SA	CM-CIC Market Solutions	May-17	Bookrunner
HEATHROW AIRPORT	CM-CIC Market Solutions	Jun-17	Bookrunner
Hörmann Finance GmbH	equinet Bank		
ICADE	CM-CIC Market Solutions	Nov-16	Bookrunner
IMERYS	CM-CIC Market Solutions	Jan-17	Bookrunner
INTU (Jersey) 2 Limited	equinet Bank		
Indra Systemas S. A.	equinet Bank		
Inmarsat PLC	equinet Bank		
JABS Holdings	CM-CIC Market Solutions	May-17	Co-Lead Manager
JCDECAUX	CM-CIC Market Solutions	May-16	Bookrunner
KEMIRA	Op Corporate Bank		
KONECRANES	Op Corporate Bank		
LAFARGEHOLCIM Ltd	CM-CIC Market Solutions	Aug-17	Bookrunner
LEGRAND	CM-CIC Market Solutions	Jun-17	Bookrunner
METSO	Op Corporate Bank		
NOS	Caixa Banco De Investimento		
PCC SE	equinet Bank		
PHAROL	Caixa Banco De Investimento		
RAPALA	Op Corporate Bank		
RCI BANQUE	CM-CIC Market Solutions	Mar-17	Bookrunner
REN	Caixa Banco De Investimento		
RENAULT SAS	CM-CIC Market Solutions	Apr-17	Bookrunner
REXEL	CM-CIC Market Solutions	May-16	Bookrunner
Recipharm A. B.	equinet Bank		
Redefine Properties Limited	equinet Bank		
Remgro Jersey GBP Limited	equinet Bank		
Remy Cointreau S. A.	equinet Bank		
SAGESS	CM-CIC Market Solutions	Oct-16	Bookrunner
SAINT GOBAIN	CM-CIC Market Solutions	Sep-16	Bookrunner



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
SALINI IMPREGILO	Banca Akros		
SONAE INDUSTRIA	Caixa Banco De Investimento		
SUEZ	CM-CIC Market Solutions	Apr-17	Bookrunner
Sirius Minerals Finance Limited	equinet Bank		
TALTALK	CM-CIC Market Solutions	Jan-17	Bookrunner
TEREOS	CM-CIC Market Solutions	Jun-16	Bookrunner
THE NAVIGATOR	Caixa Banco De Investimento		
THOMAS COOK	CM-CIC Market Solutions	Dec-16	Bookrunner
Technip S. A.	equinet Bank		
Telenor East Holding II A.S.	equinet Bank		
UBISOFT Entertainment S. A.	equinet Bank		
VALEO	CM-CIC Market Solutions	Jan-17	Bookrunner
VINCI	CM-CIC Market Solutions	Apr-17	Bookrunner
Valeo S. A.	equinet Bank		
WENDEL	CM-CIC Market Solutions	Oct-16	Bookrunner
X-Elio Energy Finance S. A.	equinet Bank		
Zukunftsenergien Wind Deutschland GmbH & Co. KG	equinet Bank		
reconcept 07 Anleihe der Zukunftsenergien Wind Deutschland GmbH & Co. KG	equinet Bank		
<b>The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed</b>			
CG Frankfurt Ostend GmbH & Co. KG	equinet Bank		
Deutsche Real Estate Funds S. A.	equinet Bank		
GALP ENERGIA	Caixa Banco De Investimento		
Immokles AG	equinet Bank		
JERONIMO MARTINS	Caixa Banco De Investimento		
MOTA ENGIL	Caixa Banco De Investimento		
SEMAPA	Caixa Banco De Investimento		
SONAE	Caixa Banco De Investimento		
SONAE CAPITAL	Caixa Banco De Investimento		
SONAE INDUSTRIA	Caixa Banco De Investimento		
arsago Grundstücks- und Beteiligungsgesellschaft mbH	equinet Bank		
<b>Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)</b>			
2 G Eenergy AG	equinet Bank		
ALTRI	Caixa Banco De Investimento		
Adler Modemärkte AG	equinet Bank		
Airbus Group SE	equinet Bank		
All for One Steeb AG	equinet Bank		
Analytik Jena AG	equinet Bank		
BATENBURG BEHEER	NIBC Markets		
BCP	Caixa Banco De Investimento		
Balda AG	equinet Bank		
Bavaria Industriekapital AG	equinet Bank		
CAPE LIVE	Banca Akros		
CLASQUIN	CM-CIC Market Solutions		
COFIDUR	CM-CIC Market Solutions	Nov-11	Sponsor
COFINA	Caixa Banco De Investimento		
CORTICEIRA AMORIM	Caixa Banco De Investimento		
CROSSJECT	CM-CIC Market Solutions		Sponsor
CTAC	NIBC Markets		
CTT	Caixa Banco De Investimento		
Conwert Immobilien Invest SE	equinet Bank		
Corestate Capital Holding S. A.	equinet Bank		
DIRECT ENERGIE	CM-CIC Market Solutions	Nov-13	
DPA GROEP	NIBC Markets		
Daldrup & Söhne AG	equinet Bank		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
EVOLIS	CM-CIC Market Solutions		Sponsor
FLEURY MICHON	CM-CIC Market Solutions		
FORFARMERS	NIBC Markets		
FUGRO	NIBC Markets		
Foris AG	equinet Bank		
Funkwerk AG	equinet Bank		
GALP ENERGIA	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
GENERIX	CM-CIC Market Solutions		
GENFIT	CM-CIC Market Solutions		
GL EVENTS	CM-CIC Market Solutions		
GROUPE PARTOUCHE	CM-CIC Market Solutions		
GROUPE SFPI	CM-CIC Market Solutions	Apr-16	
HEIJMANS	NIBC Markets		
HOLLAND COLOURS	NIBC Markets		
Halloren Schokoladenfabrik AG	equinet Bank		
IBERSOL	Caixa Banco De Investimento		
IMPRESA	Caixa Banco De Investimento		
JERONIMO MARTINS	Caixa Banco De Investimento		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
KAUFMAN & BROAD	CM-CIC Market Solutions		
KHD Humboldt Wedag International AG	equinet Bank		
KTG Agrar SE	equinet Bank		
LUZ SAUDE	Caixa Banco De Investimento		
LUZ SAUDE	Caixa Banco De Investimento		
M.A.X. Automation AG	equinet Bank		
MOTA ENGIL	Caixa Banco De Investimento		
Muehlhan AG	equinet Bank		
NEDAP	NIBC Markets		
NOS	Caixa Banco De Investimento		
NOVABASE	Caixa Banco De Investimento		
PHARMAGEST INTERACTIVE	CM-CIC Market Solutions		
PHAROL	Caixa Banco De Investimento		
PRIME INDUSTRIE	Banca Akros		
PULSION Medical Systems SE	equinet Bank		
Pfeiffer Vacuum Technology AG	equinet Bank		
REFRESCO	NIBC Markets		
REN	Caixa Banco De Investimento		
SBM Offshore	NIBC Markets		
SEMAPA	Caixa Banco De Investimento		
SHF Communication Technologies AG	equinet Bank		
SII	CM-CIC Market Solutions		
SLIGRO FOOD GROUP	NIBC Markets		
SMURFIT KAPPA PLC	CM-CIC Market Solutions		
SNOWWORLD	NIBC Markets		
SONAE	Caixa Banco De Investimento		
SONAE CAPITAL	Caixa Banco De Investimento		
SONAE INDUSTRIA	Caixa Banco De Investimento		
STERN GROEP	NIBC Markets		
Sanochemia Pharmazeutika AG	equinet Bank		
Schwälbchen AG	equinet Bank		
Seven Principles AG	equinet Bank		
Syzygy AG	equinet Bank		
TELEGRAAF MEDIA GROUP	NIBC Markets		
TEN CATE	NIBC Markets		
TERREIS	CM-CIC Market Solutions		
THE NAVIGATOR	Caixa Banco De Investimento		
TMM Real Estate Development plc	equinet Bank		
VEXIM	CM-CIC Market Solutions		
VEXIM	CM-CIC Market Solutions		
VOPAK	NIBC Markets		
Westgrund AG	equinet Bank		
<b>Any other known Non-Investment Banking Service provided (B)</b>			
THE NAVIGATOR	Caixa Banco De Investimento		
<b>The Member and/or its Group had an Investment Banking services client relationship (B)</b>			
ALTRI	Caixa Banco De Investimento		
COFINA	Caixa Banco De Investimento		
CORTICEIRA AMORIM	Caixa Banco De Investimento		
CTT	Caixa Banco De Investimento		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
JERONIMO MARTINS	Caixa Banco De Investimento		
LUZ SAUDE	Caixa Banco De Investimento		
MOTA ENGIL	Caixa Banco De Investimento		
REN	Caixa Banco De Investimento		
<b>The Member and/or its Group provided debt financing (B)</b>			
ALTRI	Caixa Banco De Investimento		
BCP	Caixa Banco De Investimento		
BPI	Caixa Banco De Investimento		
COFINA	Caixa Banco De Investimento		
CORTICEIRA AMORIM	Caixa Banco De Investimento		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
IBERSOL	Caixa Banco De Investimento		
IMPRESA	Caixa Banco De Investimento		
JERONIMO MARTINS	Caixa Banco De Investimento		
MOTA ENGIL	Caixa Banco De Investimento		
NOS	Caixa Banco De Investimento		
NOVABASE	Caixa Banco De Investimento		
PHAROL	Caixa Banco De Investimento		
PHAROL	Caixa Banco De Investimento		
REN	Caixa Banco De Investimento		
SEMAPA	Caixa Banco De Investimento		



# List of shares in potential Conflicts of Interest (by conflict case)

November 2017

Company	ESN Member	Operation Date	ESN Member Role
SONAE	Caixa Banco De Investimento		
SONAE CAPITAL	Caixa Banco De Investimento		
SONAE INDUSTRIA	Caixa Banco De Investimento		
THE NAVIGATOR	Caixa Banco De Investimento		
<b>The Member and/or its Group holds a position in debt securitites</b>			
ALTRI	Caixa Banco De Investimento		
BCP	Caixa Banco De Investimento		
BPI	Caixa Banco De Investimento		
COFINA	Caixa Banco De Investimento		
CORTICEIRA AMORIM	Caixa Banco De Investimento		
EDP	Caixa Banco De Investimento		
EDP RENOVAVEIS	Caixa Banco De Investimento		
GALP ENERGIA	Caixa Banco De Investimento		
IBERSOL	Caixa Banco De Investimento		
IMPRESA	Caixa Banco De Investimento		
JERONIMO MARTINS	Caixa Banco De Investimento		
MOTA ENGIL	Caixa Banco De Investimento		
NOS	Caixa Banco De Investimento		
NOVABASE	Caixa Banco De Investimento		
PHAROL	Caixa Banco De Investimento		
REN	Caixa Banco De Investimento		
SEMAPA	Caixa Banco De Investimento		
SONAE	Caixa Banco De Investimento		
SONAE CAPITAL	Caixa Banco De Investimento		
SONAE INDUSTRIA	Caixa Banco De Investimento		
THE NAVIGATOR	Caixa Banco De Investimento		

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 consortium for the placement as a simple participant in consortium
	(C)	in the coming 3 months
<b>Finland</b>	(A)	5%
	(B)	in the last 12 months
<b>France</b>	(A)	5%
	(B)	in the last 12 months
<b>Germany</b>	(A)	3%
	(B)	between 2004 and 2007
<b>Greece</b>	(A)	5%
	(B)	in the last 12 months
<b>Italy</b>	(A)	2%
	(B)	in the last 12 months
<b>Netherlands</b>	(A)	5%
	(B)	in the last 12 months
<b>Portugal</b>	(A)	2%
	(B)	in the last 12 months
<b>Spain</b>	(A)	3%
	(B)	in the last 12 months