



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ALD EO 1,50	equinet Bank			
AMERICAS SILVER	equinet Bank			
DXP ENTERPRISES DL-,01	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			
ECHOSTAR CORP. A DL -,001	equinet Bank			
EDEL AG O.N.	equinet Bank			
EDGE THERAPEUTICS INC	equinet Bank			
EDGEWELL PERS.CARE DL-,01	equinet Bank			
EISEN- U.HUETTENWERKE	equinet Bank			
ELEC + ELTEK INTL SD-,80	equinet Bank			
The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer				
GENFIT	CM-CIC Market Solutions			
GROUPE SFPI	CM-CIC Market Solutions			
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue				
REN	Caixa Banco De Investimento			
Shares of companies part of the Member Group				
BANCO BPM	Banca Akros			
BMCE BANK	CM-CIC Market Solutions			
MAGHREBAIL	CM-CIC Market Solutions			
SALAFIN	CM-CIC Market Solutions			
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				
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			
The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer				
ASSYSTEM	CM-CIC Market Solutions			
KORIAN	CM-CIC Market Solutions			
MAUREL ET PROM	CM-CIC Market Solutions			
NANOBIOTIX	CM-CIC Market Solutions			
ZODIAC AEOROSPACE	CM-CIC Market Solutions			
Shares where the Member and/or its Group holds more than (A) (*)				
ALTRI	Caixa Banco De Investimento			
ANIMA HOLDING	Banca Akros			31/3/2014-10/4/2014
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
BAYER AG NA O.N.	equinet Bank			
Shares where the Member and/or its Group holds more than (A) (*)				
BCP	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
BIOLASE INC. DL -,001	equinet Bank			
Shares where the Member and/or its Group holds more than (A) (*)				
BPI	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CGG SA 12-19 CV	equinet Bank			
Shares where the Member and/or its Group holds more than (A) (*)				
CORTICEIRA AMORIM	Caixa Banco De Investimento			
CTT	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
DEUTSCHE EUROSHOP NA O.N.	equinet Bank			
Shares where the Member and/or its Group holds more than (A) (*)				
EDP	Caixa Banco De Investimento			
EDP RENOVAVEIS	Caixa Banco De Investimento			
GABETTI PROPERTY SOLUTION	Banca Akros			
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			Dal 21/12/2010
REN	Caixa Banco De Investimento			
RISANAMENTO	Banca Akros			Dal 4/2/2011 - conclusa op. AU
SEMAPA	Caixa Banco De Investimento			
The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer				
SERGE FERRARI GROUP	CM-CIC Market Solutions			
Shares where the Member and/or its Group holds more than (A) (*)				
SONAE	Caixa Banco De Investimento			
SONAE CAPITAL	Caixa Banco De Investimento			
THE NAVIGATOR	Caixa Banco De Investimento			
VEOLIA ENVIRONNEMENT	CM-CIC Market Solutions			
Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)				
AB BIOTICS	GVC Gaesco Beka	Jul-10		
ACOTEL	Banca Akros			



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Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
AUTOSTRADA TO-MI	Banca Akros			MERCATO TAH
AXELERO	Banca Akros			
BIOORGANIC RESEARCH SER	GVC Gaesco Beka	Jan-12		
CARBURES	GVC Gaesco Beka	Mar-12		
DIGITAL BROS	Banca Akros			
ENERVIT SPA	Banca Akros			
EXPRIVIA	Banca Akros			INIZIO ATTIVITA' SPECIALIST IL 30/09/2013
FALCK REWENABLES	Banca Akros			Inizio attività dal 16/1/2013
GASPLUS	Banca Akros			dal 6/5/2010
GRIÑO ECOLOGIC S.A.	GVC Gaesco Beka	Mar-16		
I GRANDI VIAGGI	Banca Akros			
NOTORIUS PICTURES	Banca Akros			
SIAS	Banca Akros			MERCATO TAH
VITA EDITORIALE	Banca Akros			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
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			
ABEO	CM-CIC Market Solutions	Oct-16		
ACCELL GROUP	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			
AGRIUM INC.	equinet Bank			
AKKA TECHNOLOGIES	CM-CIC Market Solutions			
ALACER GOLD CORP.	equinet Bank			
ALEXANDER + BALDWIN	equinet Bank			
ALLIANCE RESOURCES LTD.	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			
ALTRI	Caixa Banco De Investimento			
AM.AXLE + MFG HLDGS DL-01	equinet Bank			
AMEDISYS INC. DL-,001	equinet Bank			
AMERCO DL-,25	equinet Bank			
AMSTERDAM COMMODITIES	NIBC Markets			
ANACONDA MNG CORP.	equinet Bank			
ANHEUSER-BUSCH INBEV ADR	equinet Bank			
ARCANDOR AG O.N.	equinet Bank			
ASPEN TECH. INC. DL-,10	equinet Bank			
ATRYX HEALTH	GVC Gaesco Beka	Jun-17		
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			
BAY HOTELS & LEISURE SOCIMI	GVC Gaesco Beka	Jul-17		
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			
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			
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			
Baumot Group AG	equinet Bank			
BayWa AG	equinet Bank			
Biotest AG	equinet Bank			
Brenntag AG	equinet Bank			
C.H. ROB. WORLDWIDE NEW	equinet Bank			
CALIDA HLDG NA SF 0,10	equinet Bank			
CANADIAN ZINC 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			



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CES ENERGY SOLUTIONS	equinet Bank			
CHANNELADVISOR DL-,001	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		
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			
CONTINENTAL AG O.N.	equinet Bank			
CORESTATE CAPITAL HLDG	equinet Bank			
COSTAR GROUP INC. DL-,01	equinet Bank			
CPI PROPERTY GRP EO-,10	equinet Bank			
CTAC	NIBC Markets			
CVR REFINING LP UTS	equinet Bank			
CYPRESS ENERGY PART.UTS	equinet Bank			
CYTOTOOLS O.N.	equinet Bank			
Corestate Capital Holding SA	equinet Bank			
CytoTools AG	equinet Bank			
DACIAN GOLD LTD	equinet Bank			
DATA MODUL AG O.N.	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 WOHNEN SE INH	equinet Bank			
DIC ASSET AG NA O.N.	equinet Bank			
DIRECT ENERGIE	CM-CIC Market Solutions	Jun-12		
DOM SECURITY	CM-CIC Market Solutions			
DOMINOS PIZZA ENTERPR.LTD	equinet Bank			
DOMTAR CORP. NEW DL-,01	equinet Bank			
DPA GROEP	NIBC Markets			
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		
Daldrup & Söhne AG	equinet Bank			
Delivery Hero AG	equinet Bank			
ECOSLOPS	CM-CIC Market Solutions			
EFG EUROBANK ERGASIAS STOCK FUTURE	Investment Bank of Greece	Aug-17		
ELIS 17/23 ZO CV	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			
ENSGN 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			
EYEMAXX Real Estate 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			
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			
FORTEC ELEKTRO. O.N.	equinet Bank			
FORW.PHARMA A/S SP.ADR /2	equinet Bank			
FREENET AG NA O.N.	equinet Bank			
FROEHLICH 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			
Fyber N.V.	equinet Bank			
GALP ENERGIA	Caixa Banco De Investimento			
GALP ENERGIA	Caixa Banco De Investimento			
GALWAY GOLD	equinet Bank			



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December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
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			
GEOPARK 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 EUROBANK 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			
HORNBAACH HOLD.ST O.N.	equinet Bank			
HYDROGENICS CORP.	equinet Bank			
HYFLUX LTD	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			
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			
KEYRUS	CM-CIC Market Solutions			
KHD HUMB.WEDAG VV NA O.N.	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			
LLEIDANETWORKS SERVEIS TELEMATICS	GVC Gaesco Beka	Sep-15		
LUCAS BOLLS	NIBC Markets			
LUDW.BECK A.RATHAUSECK	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			



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Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
MAANSHAN IRON STEEL H YC1	equinet Bank			
MAG SILVER CORP.	equinet Bank			
MAGIC SOFTWARE ENT.IS-.01	equinet Bank			
MAISONS D.MONDE 17-23 CV	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			
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			
MUELLER-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			
NAGAMBIE RESOURCES LTD.	equinet Bank			
NANOFOCUS O.N.	equinet Bank			
NATIONAL BANK OF GREECE STOCK FUTURE	Investment Bank of Greece	Aug-17		
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			
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			
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			



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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			
PIERRE ET VACANC.17-23 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			
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			
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			
QUINTIS LTD	equinet Bank			
QUONIA Socimi, S.A.	GVC Gaesco Beka	Jan-18		
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 N.V. 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			
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			
SCHWAELEBCHEN MOKKERE.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			



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
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			
STELLA-JONES INC.	equinet Bank			
STERN GROEP	NIBC Markets			
STRAYER EDUCAT. DL-,01	equinet Bank			
STRIKE ENERGY LTD.	equinet Bank			
STUDENT PROPERTIES SPAIN SOCIMI, S.A.	GVC Gaesco Beka	Dec-17		
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			
Schaltbau Holding AG	equinet Bank			
Scout24 AG	equinet Bank			
Seven Principles AG	equinet Bank			
Surteco SE	equinet Bank			
Syzygy AG	equinet Bank			
TAG IMMOBILIEN AG	equinet Bank			
TAG IMMOBILIEN AG NEUE	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			
TERNA ENERGY S.A. STOCK FUTURE	Investment Bank of Greece	Aug-17		
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			
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			
VALEANT PHARMACEUT. INTL	equinet Bank			
epigenomics AG	equinet Bank			
euromicron AG	equinet Bank			
manz AG	equinet Bank			
technotrans AG	equinet Bank			
va-Q-tec AG	equinet Bank			
Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)				
ACCOR	CM-CIC Market Solutions			
AEROPORTS DE PARIS	CM-CIC Market Solutions			
AIR France KLM	CM-CIC Market Solutions			
AIR LIQUIDE	CM-CIC Market Solutions			
AIRBUS SE	CM-CIC Market Solutions			
AIRBUS SE	CM-CIC Market Solutions			
ALSTOM	CM-CIC Market Solutions			
ALSTOM	CM-CIC Market Solutions			
APRR (AUTOROUTES PARIS RHIN RHONE)	CM-CIC Market Solutions			
ARCELORMITTAL	CM-CIC Market Solutions			
AREVA	CM-CIC Market Solutions			
ARKEMA	CM-CIC Market Solutions			
BFCM SA	CM-CIC Market Solutions			
BNP PARIBAS	CM-CIC Market Solutions			
BOLLORE	CM-CIC Market Solutions			
BOUYGUES	CM-CIC Market Solutions			
BPCE	CM-CIC Market Solutions			
BUREAU VERITAS S.A.	CM-CIC Market Solutions			
CAPGEMINI	CM-CIC Market Solutions			
CARREFOUR	CM-CIC Market Solutions			
CASINO GUICHARD-PERRACHON	CM-CIC Market Solutions			
CHRISTIAN DIOR	CM-CIC Market Solutions			
CONTINENTAL	CM-CIC Market Solutions			
CREDIT AGRICOLE SA	CM-CIC Market Solutions			
DAIMLER AG	CM-CIC Market Solutions			
DANONE	CM-CIC Market Solutions			
DIGITAL MAGIC	Banca Akros			
E.ON	CM-CIC Market Solutions			
EDENRED	CM-CIC Market Solutions			
EDF	CM-CIC Market Solutions			
ENEL	CM-CIC Market Solutions			
ENGIE	CM-CIC Market Solutions			
ESSILOR INTL.	CM-CIC Market Solutions			
FAURECIA	CM-CIC Market Solutions			



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
FONCIERE DES REGIONS	CM-CIC Market Solutions			
FRESENIUS	CM-CIC Market Solutions			
GBL	CM-CIC Market Solutions			
GECINA	CM-CIC Market Solutions			
GROUPE AUCHAN	CM-CIC Market Solutions			
GROUPE PSA	CM-CIC Market Solutions			
HAVAS	CM-CIC Market Solutions			
ICADE	CM-CIC Market Solutions			
IMERYS	CM-CIC Market Solutions			
KERING	CM-CIC Market Solutions			
KLEPIERRE	CM-CIC Market Solutions			
LAFARGEHOLCIM Ltd	CM-CIC Market Solutions			
LEGRAND	CM-CIC Market Solutions			
LVMH	CM-CIC Market Solutions			
MICHELIN	CM-CIC Market Solutions			
ORANGE	CM-CIC Market Solutions			
PERNOD RICARD	CM-CIC Market Solutions			
PLASTIC OMNIUM	CM-CIC Market Solutions			
PUBLICIS	CM-CIC Market Solutions			
RALLYE	CM-CIC Market Solutions			
RELX	CM-CIC Market Solutions			
RENAULT	CM-CIC Market Solutions			
REXEL	CM-CIC Market Solutions			
RTE (Réseau de Transport d'Electricité)	CM-CIC Market Solutions			
SAFRAN	CM-CIC Market Solutions			
SAGESS	CM-CIC Market Solutions			
SAINT-GOBAIN	CM-CIC Market Solutions			
SANEF	CM-CIC Market Solutions			
SANOFI	CM-CIC Market Solutions			
SCHNEIDER ELECTRIC SE	CM-CIC Market Solutions			
SOCIETE FONCIERE LYONNAISE S.A.	CM-CIC Market Solutions			
SOCIETE GENERALE	CM-CIC Market Solutions			
SODEXO	CM-CIC Market Solutions			
SUEZ	CM-CIC Market Solutions			
TECHNIPFMC Plc	CM-CIC Market Solutions			
TELECOM ITALIA	CM-CIC Market Solutions			
TELEFONICA	CM-CIC Market Solutions			
TEREOS	CM-CIC Market Solutions			
TEVA PHARMACEUTICAL	CM-CIC Market Solutions			
THALES	CM-CIC Market Solutions			
TOTAL	CM-CIC Market Solutions			
UNIBAIL-RODAMCO	CM-CIC Market Solutions			
VALEO	CM-CIC Market Solutions			
VALLOUREC	CM-CIC Market Solutions			
VEOLIA ENVIRONNEMENT	CM-CIC Market Solutions			
VINCI	CM-CIC Market Solutions			
VISIBILIA EDITORE	Banca Akros			
VIVENDI	CM-CIC Market Solutions			
VODAFONE	CM-CIC Market Solutions			
WENDEL	CM-CIC Market Solutions			
The Member is Nominated Adviser on AIM				
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		
GRUPO INSUR	GVC Gaesco Beka	Jul-17		
IDEAMI	Banca Akros			
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		
SOLARIA CASIOPEA	GVC Gaesco Beka	Dec-17		
VITA EDITORIALE	Banca Akros			
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription				
ACCESS INDUSTRIE	CM-CIC Market Solutions	Nov-17		
ADVICENNE	NIBC Markets			
BASIC-FIT	NIBC Markets			
COMPAGNIE AGRICOLE DE LA CRAU	CM-CIC Market Solutions	Feb-16		
DOBANK	Banca Akros			11/07/2017
ENDESA	GVC Gaesco Beka	Nov-14		
FERMENTALG	CM-CIC Market Solutions	Oct-17		
GAMENET	Banca Akros			
IDEAMI	Banca Akros			
INDEL B	Banca Akros			dal 4/5/2017
INDUSTRIAL STARS OF ITALY 3	Banca Akros			Posizione netta lunga dello 0,91% del capitale
KAMUX	Op Corporate Bank			
LEHTO GROUP	Op Corporate Bank			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
NorCom Information Technology AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription				
PIRELLI	Banca Akros			18-28/9/17
ROVIO	Op Corporate Bank			
SILMÅSEMA	Op Corporate Bank			



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
TERVEYSTALO TESSI VEI1	Op Corporate Bank CM-CIC Market Solutions Banca Akros	Feb-17		
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement				
BANCA FARMAFACTORING	Banca Akros			RISERVATA ISTITUZIONALI
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CREDIT SUISSE GP AG ADR 1	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement				
EDP GALP ENERGIA MOTA ENGL REN TESSI	Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento CM-CIC Market Solutions	Feb-17	Co-Lead Manager	
The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue				
BCP CLEVER GLOBAL DOGI INTERNATIONAL FABRICS EDP ELTEL ILSOLE24ORE INNOVAITALY 1 INYPSA LLEIDANETWORKS SERVEIS TELEMATICS MASMOVIL IBERCOM MOTA ENGL NBI BEARINGS EUROPE REN SONAE INDUSTRIA SONAE INDUSTRIA UNICREDIT VISIATIV	Caixa Banco De Investimento GVC Gaesco Beka GVC Gaesco Beka Caixa Banco De Investimento Op Corporate Bank Banca Akros Banca Akros GVC Gaesco Beka GVC Gaesco Beka GVC Gaesco Beka Caixa Banco De Investimento GVC Gaesco Beka Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Banca Akros CM-CIC Market Solutions	Aug-16 Jul-15		30/10/17-10/11/17
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
AT+S AUSTR.T.+SYSTEMT.	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
CMA-CGM	CM-CIC Market Solutions	Jul-17	Co-Lead Manager	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CONTIN.BLDG PRODS DL-,001 DALDRUP+SOEHNE AG	equinet Bank equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds				
EDP GALP ENERGIA	Caixa Banco De Investimento Caixa Banco De Investimento			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
JABIL CIRCUIT	CM-CIC Market Solutions	May-17	Co-Lead Manager	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
MTU Aero Engines Hold	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds				
PIERRE ET VACANCES SONAE	CM-CIC Market Solutions Caixa Banco De Investimento			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
TALTALK	CM-CIC Market Solutions	Jan-17	Co-Lead Manager	
The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds				
UNIBAIL-RODAMCO	CM-CIC Market Solutions	Feb-17	Co-Lead Manager	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
AARON'S INC. A DL -,50	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
ACCOR	CM-CIC Market Solutions	Jan-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
AGENNIX AG I.A. AGRARIUS AG AGRARIUS AG INH. O.N. AGROTON PUBLIC LTD GDR 1	equinet Bank equinet Bank equinet Bank equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
AIR LIQUIDE	CM-CIC Market Solutions	Jun-16	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ALTAGAS LTD AMER. SOFTWARE A DL-,10 ANGLO AMERICAN SP.ADR 1/2	equinet Bank equinet Bank equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
APRR (AUTOROUTES PARIS RHIN RHONE)	CM-CIC Market Solutions	Nov-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ARCHROCK PARTNERS LP UTS	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
ARTEMIS	CM-CIC Market Solutions	Sep-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ARTISAN PART.AS.M.A DL-01	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
ASF	CM-CIC Market Solutions	Apr-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
ATKORE INTL GROUP DL-,01	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
ATLANTIA	Banca Akros			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ATOSS SOFTWARE AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
BANCO BPM	Banca Akros			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
BAUMOT GROUP AG O.N.	equinet Bank			
BAYER AG NA O.N. NEUE	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
BCP	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
BRUNEL INTL NV EO -,03	equinet Bank			
Biotest AG Vorzugsaktien	equinet Bank			
CAMPING WORLD CL.A DL-,01	equinet Bank			
CANADA CARBON INC.	equinet Bank			
CANFOR CORP.	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
CARGOTEC	Op Corporate Bank			
CATTOLICA ASSICURAZIONI	Banca Akros			
CAVERION	Op Corporate Bank			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CHOICE HOTELS INT. DL-,01	equinet Bank			
CLOUD PEAK ENERGY DL-,01	equinet Bank			
COMPUGROUP MED.SE O.N.	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
CONSTELLIUM	CM-CIC Market Solutions	Nov-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
COTT CORP.	equinet Bank			
DAVIDSTEA INC.	equinet Bank			
DF Deutsche Forfait AG	equinet Bank			
DIAMOND OFFSHORE DRILLING	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
EDF	CM-CIC Market Solutions	Mar-17	Bookrunner	
EDP	Caixa Banco De Investimento			
EDP	Caixa Banco De Investimento			
ELISA	Op Corporate Bank			
ENGIE	CM-CIC Market Solutions	Mar-17	Bookrunner	
EUROPCAR	CM-CIC Market Solutions	Oct-17	Bookrunner	
FFP	CM-CIC Market Solutions	Jun-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
FORIS AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
FRESENUM	CM-CIC Market Solutions	Jan-17	Bookrunner	
FROMAGERIES BEL	CM-CIC Market Solutions	Apr-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
Freenet AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
GALP ENERGIA	Caixa Banco De Investimento			
GECINA	CM-CIC Market Solutions	Sep-17	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	
HKSCAN	Op Corporate Bank			
HUHTAMÄKI	Op Corporate Bank			
ILIAD	CM-CIC Market Solutions	Oct-17	Bookrunner	
IMERYS	CM-CIC Market Solutions	Jan-17	Bookrunner	
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			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
OSRAM Licht AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
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	Feb-17	Bookrunner	
RTE	CM-CIC Market Solutions	Oct-17	Bookrunner	
SALINI IMPREGILO	Banca Akros			
SARAS	Banca Akros			
SIAS	Banca Akros			
SMURFIT KAPPA PLC	CM-CIC Market Solutions	Jan-17	Co-Lead Manager	
SONAE INDUSTRIA	Caixa Banco De Investimento			
STOCKMANN	Op Corporate Bank			



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
SUEZ	CM-CIC Market Solutions	Apr-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
Süss Microtec AG	equinet Bank			
TAKKT AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed				
TALTALK	CM-CIC Market Solutions	Jan-17	Bookrunner	
TEREOS	CM-CIC Market Solutions	Jun-16	Bookrunner	
THE NAVIGATOR	Caixa Banco De Investimento			
VALEO	CM-CIC Market Solutions	Jan-17	Bookrunner	
VINCI	CM-CIC Market Solutions	Apr-17	Bookrunner	
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
Viscom AG	equinet Bank			
The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed				
GALP ENERGIA	Caixa Banco De Investimento			
JERONIMO MARTINS	Caixa Banco De Investimento			
MOTA ENGL	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			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
ACCENTRO R.EST.AG O.N.	equinet Bank			
ALACER GOLD CORP. CDIS 1	equinet Bank			
ALARM.COM HOLDINGS INC.	equinet Bank			
ALLREAL HLDGS NAM SF 50	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
ALTRI	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
AMBARELLA INC. DL -,00045	equinet Bank			
AMERIGO RESOURCES LTD	equinet Bank			
AUDI AG O.N.	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
BATENBURG BEHEER	NIBC Markets			
BCP	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
BREVILLE GROUP LTD	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
CAPE LIVE	Banca Akros			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CGG SA 15-20 CV	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
CLASQUIN	CM-CIC Market Solutions		Sponsor	
COFIDUR	CM-CIC Market Solutions	Nov-11	Sponsor	
COFINA	Caixa Banco De Investimento			
CORTICEIRA AMORIM	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
CREDIT AGRICOLE 16/19 ZO CV	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
CROSSJECT	CM-CIC Market Solutions		Sponsor	
CTT	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
DEUTSCHE WOHNEN SE NEUE	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
DIRECT ENERGIE	CM-CIC Market Solutions	Nov-13		
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			
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			
IBERSOL	Caixa Banco De Investimento			
ICT AUTOMATISERING	NIBC Markets			
IMPRESA	Caixa Banco De Investimento			
JERONIMO MARTINS	Caixa Banco De Investimento			
KAUFMAN & BROAD	CM-CIC Market Solutions			
LUZ SAUDE	Caixa Banco De Investimento			
LUZ SAUDE	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
MLP AG	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
MOTA ENGL	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
Muehlhan AG	equinet Bank			



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

December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
NEDAP	NIBC Markets			
NOS	Caixa Banco De Investimento			
NOVABASE	Caixa Banco De Investimento			
ORDINA	NIBC Markets			
PHARMAGEST INTERACTIVE	CM-CIC Market Solutions			
PHAROL	Caixa Banco De Investimento			
PRIME INDUSTRIE	Banca Akros			DAL 1/3/2013
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
Progress-Werk Oberkirch AG	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
REN	Caixa Banco De Investimento			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
S&T AG	equinet Bank			
Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)				
SEMAPA	Caixa Banco De Investimento			
SII	CM-CIC Market Solutions			
SLIGRO FOOD GROUP	NIBC Markets			
SONAE	Caixa Banco De Investimento			
SONAE CAPITAL	Caixa Banco De Investimento			
SONAE INDUSTRIA	Caixa Banco De Investimento			
STERN GROEP	NIBC Markets			
TELEGRAAF MEDIA GROEP	NIBC Markets			
TERREIS	CM-CIC Market Solutions			
THE NAVIGATOR	Caixa Banco De Investimento			
VEXIM	CM-CIC Market Solutions			
VOPAK	NIBC Markets			
Shares where the Member is "Liquidity Provider" or "Market-maker" (**)				
windeln.de AG	equinet Bank			
Any other known Non-Investment Banking Service provided (B)				
THE NAVIGATOR	Caixa Banco De Investimento			
The Member and/or its Group had an Investment Banking services client relationship (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			
The Member and/or its Group provided debt financing (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			
REFRESCO	NIBC Markets			
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			
The Member and/or its Group holds a position in debt securitites				
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			



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December 2017

Company	ESN Member	Operation Date	ESN Member Role	Conflict Details
SONAE CAPITAL	Caixa Banco De Investimento			
SONAE INDUSTRIA	Caixa Banco De Investimento			
THE NAVIGATOR	Caixa Banco De Investimento			