



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
Banca Akros			
ACOTEL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
ANIMA HOLDING	Shares where the Member and/or its Group holds more than (A) (*)		
ATLANTIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
AUTOSTRADE TO-MI	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
AXELERO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
BANCA FARMAFACTORING	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
BANCO BPM	Shares of companies part of the Member Group		
BEST UNION COMPANYY	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		
CAPE LIVE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
DIGITAL BROS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
DIGITAL MAGIC	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)		
DOBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
ENAV	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
ENERVIT SPA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
EXPRIVIA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
FALCK REWENABLES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
GABETTI PROPERTY SOLUTION	Shares where the Member and/or its Group holds more than (A) (*)		
GAMBERO ROSSO	The Member is Nominated Adviser on AIM		
GASPLUS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
GPI	The Member is Nominated Adviser on AIM		
I GRANDI VIAGGI	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
ILSOLE24ORE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
INDEL B	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
INDUSTRIAL STARS OF ITALY 3	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
INDUSTRIAL STARS OF ITALY 3	The Member is Nominated Adviser on AIM		
INNOVAITALY 1	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
NOTORIUS PICTURES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
NOTORIUS PICTURES	The Member is Nominated Adviser on AIM		
ORSERO	The Member is Nominated Adviser on AIM		
PIRELLI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
PRELIOS	Shares where the Member and/or its Group holds more than (A) (*)		
PREMUDA	Shares where the Member and/or its Group holds more than (A) (*)		
PRIME INDUSTRIE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
RISANAMENTO	Shares where the Member and/or its Group holds more than (A) (*)		
SALINI IMPREGILO	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
SIAS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
TOD'S	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		
UNICREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
VISIBILIA EDITORE	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)		
VITA EDITORIALE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
VITA EDITORIALE	The Member is Nominated Adviser on AIM		
CM-CIC Market Solutions			
ABEO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Oct-16	The CM-CIC Group holds 5%
ACCOR	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	
ADEUNIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AIR France KLM	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-16	
AIR LIQUIDE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-16	
AKKA TECHNOLOGIES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
APRR (AUTOROUTES PARIS RHIN RHONE)	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Nov-16	



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ASF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	
ATOS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
BOURBON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BUREAU VERITAS S.A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
CELLNOVO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-15	
CLASQUIN	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		listing Sponsor
COFIDUR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	Nov-11	Listing Sponsor Only
COFIDUR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COMPAGNIE AGRICOLE DE LA CRAU	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Feb-16	
CONTINENTAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Nov-16	
CROSSJECT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		Listing Sponsor Only
DELFINGEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-12	
DIRECT ENERGIE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	Nov-13	
DIRECT ENERGIE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jun-12	
DOM SECURITY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ECOSLOPS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EDF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-16	
EIFPAGE	Shares where the Member and/or its Group holds more than (A) (*)		The CM-CIC Group holds a minority stake
EMOVA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ENGIE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	
ERAMET	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
ESI GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EVOLIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		And Listing Sponsor
EVOLIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Nov-11	
FLEURY MICHON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FLEURY MICHON	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
FONCIERE ATLAND	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FONCIERE DES REGIONS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-16	
FRESENUM	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	
FROMAGERIES BEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	
GECINA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
GENERIX	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GENFIT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GENFIT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GENOMIC VISION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Sep-07	
GL EVENTS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GL EVENTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GROUPE FNAC SA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
GROUPE OPEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jan-16	
GROUPE PARTOUCHE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GROUPE PARTOUCHE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GROUPE POUJOLAT	Shares where the Member and/or its Group holds more than (A) (*)	May-15	The CM-CIC Group holds a minority stake
GROUPE PSA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	
GROUPE SFPI	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	Apr-16	The CM-CIC Group holds 5%
Groupe Bruxelles Lambert SA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-17	
HEATHROW AIRPORT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-17	
HF COMPANY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ICADE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Nov-16	
IMERYS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	
JABS Holdings	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-17	
JCDECAUX	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-16	



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KAUFMAN & BROAD	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
KEYRUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LAFARGEHOLCIM Ltd	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Aug-17	
LANSON-BCC	Shares where the Member and/or its Group holds more than (A) (*)		The CM-CIC Group holds a minority stake
LEGRAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-17	
MAISONS FRANCE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MEMSCAP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
METABOLIC EXPLORER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEURONES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Feb-17	
NRJ GROUP	Shares where the Member and/or its Group holds more than (A) (*)		The CM-CIC group owns more than 95% of NRJ Mobile
ONXEO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OSMOZIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PASSAT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PHARMAGEST INTERACTIVE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
RCI BANQUE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	
RENAULT SAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	
REXEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-16	
SAGESS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-16	
SAINT GOBAIN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-16	
SERGE FERRARI GROUP	Shares where the Member and/or its Group holds more than (A) (*)		The CM-CIC Group holds or more 5%
SII	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SII	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SMURFIT KAPPA PLC	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SOFRAGI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SPIR COMMUNICATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SUEZ	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	
TALTALK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	
TEREOS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-16	
TERREIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
TESSI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	Feb-17	
THOMAS COOK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Dec-16	
UNIBAIL-RODAMCO	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds	Apr-16	
VALEO	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	
VEOLIA ENVIRONNEMENT	Shares where the Member and/or its Group holds more than (A) (*)		The CM-CIC Group holds a minority stake
VEXIM	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
VEXIM	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
VINCI	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	
VISIATIV	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	Jun-16	
VIVENDI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	May-16	
WENDEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-16	
Caixa Banco De Investimento			
ALTRI	The Member and/or its Group had an Investment Banking services client relationship (B)		
ALTRI	The Member and/or its Group holds a position in debt securitites		
ALTRI	The Member and/or its Group provided debt financing (B)		
ALTRI	Shares where the Member and/or its Group holds more than (A) (*)		
ALTRI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALTRI	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
BCP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
BCP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
BCP	Shares where the Member and/or its Group holds more than (A) (*)		



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BCP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
BCP	The Member and/or its Group holds a position in debt securitites		
BCP	The Member and/or its Group provided debt financing (B)		
BPI	Shares where the Member and/or its Group holds more than (A) (*)		
BPI	The Member and/or its Group provided debt financing (B)		
BPI	The Member and/or its Group holds a position in debt securitites		
COFINA	The Member and/or its Group holds a position in debt securitites		
COFINA	The Member and/or its Group provided debt financing (B)		
COFINA	The Member and/or its Group had an Investment Banking services client relationship (B)		
COFINA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COFINA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
CORTICEIRA AMORIM	The Member and/or its Group holds a position in debt securitites		
CORTICEIRA AMORIM	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
CORTICEIRA AMORIM	Shares where the Member and/or its Group holds more than (A) (*)		
CORTICEIRA AMORIM	The Member and/or its Group had an Investment Banking services client relationship (B)		
CORTICEIRA AMORIM	The Member and/or its Group provided debt financing (B)		
CTT	The Member and/or its Group had an Investment Banking services client relationship (B)		
CTT	Shares where the Member and/or its Group holds more than (A) (*)		
CTT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
EDP	Shares where the Member and/or its Group holds more than (A) (*)		
EDP	The Member and/or its Group provided debt financing (B)		
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds		
EDP	The Member and/or its Group holds a position in debt securitites		
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
EDP	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		
EDP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
EDP	The Member and/or its Group had an Investment Banking services client relationship (B)		
EDP RENOVAVEIS	The Member and/or its Group holds a position in debt securitites		
EDP RENOVAVEIS	Shares where the Member and/or its Group holds more than (A) (*)		
EDP RENOVAVEIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
EDP RENOVAVEIS	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		
EDP RENOVAVEIS	The Member and/or its Group provided debt financing (B)		
EDP RENOVAVEIS	The Member and/or its Group had an Investment Banking services client relationship (B)		
GALP ENERGIA	The Member and/or its Group holds a position in debt securitites		
GALP ENERGIA	The Member and/or its Group provided debt financing (B)		
GALP ENERGIA	The Member and/or its Group had an Investment Banking services client relationship (B)		
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds		
GALP ENERGIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
GALP ENERGIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
GALP ENERGIA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GALP ENERGIA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
IBERSOL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
IBERSOL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
IBERSOL	The Member and/or its Group holds a position in debt securitites		
IBERSOL	The Member and/or its Group provided debt financing (B)		



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IMPRESA	The Member and/or its Group provided debt financing (B)		
IMPRESA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
IMPRESA	The Member and/or its Group holds a position in debt securitites		
JERONIMO MARTINS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
JERONIMO MARTINS	The Member and/or its Group provided debt financing (B)		
JERONIMO MARTINS	The Member and/or its Group had an Investment Banking services client relationship (B)		
JERONIMO MARTINS	The Member and/or its Group holds a position in debt securitites		
JERONIMO MARTINS	Shares where the Member and/or its Group holds more than (A) (*)		
JERONIMO MARTINS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
LUZ SAUDE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
LUZ SAUDE	Shares where the Member and/or its Group holds more than (A) (*)		
LUZ SAUDE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
LUZ SAUDE	The Member and/or its Group had an Investment Banking services client relationship (B)		
MOTA ENGIL	The Member and/or its Group had an Investment Banking services client relationship (B)		
MOTA ENGIL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
MOTA ENGIL	Shares where the Member and/or its Group holds more than (A) (*)		
MOTA ENGIL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
MOTA ENGIL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
MOTA ENGIL	The Member and/or its Group provided debt financing (B)		
MOTA ENGIL	The Member and/or its Group holds a position in debt securitites		
MOTA ENGIL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
NOS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
NOS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
NOS	Shares where the Member and/or its Group holds more than (A) (*)		
NOS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NOS	The Member and/or its Group holds a position in debt securitites		
NOS	The Member and/or its Group provided debt financing (B)		
NOVABASE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
NOVABASE	The Member and/or its Group holds a position in debt securitites		
NOVABASE	Shares where the Member and/or its Group holds more than (A) (*)		
NOVABASE	The Member and/or its Group provided debt financing (B)		
PHAROL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
PHAROL	The Member and/or its Group provided debt financing (B)		
PHAROL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
PHAROL	The Member and/or its Group provided debt financing (B)		
PHAROL	Shares where the Member and/or its Group holds more than (A) (*)		
PHAROL	The Member and/or its Group holds a position in debt securitites		
REN	Shares where the Member and/or its Group holds more than (A) (*)		
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
REN	The Member and/or its Group had an Investment Banking services client relationship (B)		
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
REN	The Member and/or its Group provided debt financing (B)		
REN	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
REN	The Member and/or its Group holds a position in debt securitites		
REN	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		
SEMAPA	Shares where the Member and/or its Group holds more than (A) (*)		
SEMAPA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SEMAPA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
SEMAPA	The Member and/or its Group provided debt financing (B)		



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SEMAPA	The Member and/or its Group holds a position in debt securitites		
SONAE	The Member and/or its Group provided debt financing (B)		
SONAE	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds		
SONAE	The Member and/or its Group holds a position in debt securitites		
SONAE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
SONAE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SONAE	Shares where the Member and/or its Group holds more than (A) (*)		
SONAE CAPITAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
SONAE CAPITAL	The Member and/or its Group holds a position in debt securitites		
SONAE CAPITAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SONAE CAPITAL	The Member and/or its Group provided debt financing (B)		
SONAE CAPITAL	Shares where the Member and/or its Group holds more than (A) (*)		
SONAE CAPITAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
SONAE INDUSTRIA	The Member and/or its Group provided debt financing (B)		
SONAE INDUSTRIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SONAE INDUSTRIA	The Member and/or its Group holds a position in debt securitites		
THE NAVIGATOR	Shares where the Member and/or its Group holds more than (A) (*)		
THE NAVIGATOR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
THE NAVIGATOR	Any other known Non-Investment Banking Service provided (B)		
THE NAVIGATOR	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
THE NAVIGATOR	The Member and/or its Group holds a position in debt securitites		
THE NAVIGATOR	The Member and/or its Group provided debt financing (B)		
GVC Gaesco Beka			
AB BIOTICS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Jul-10	
BIOORGANIC RESEARCH SER	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Jan-12	
CARBURES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Mar-12	
CATENON	The Member is Nominated Adviser on AIM	Aug-16	
CLEVER GLOBAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Aug-16	
CLEVER GLOBAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-16	
DOGI INTERNATIONAL FABRICS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Jul-15	
ENDESA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Nov-14	
EUROESPES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Apr-15	
EUROESPES	The Member is Nominated Adviser on AIM	Aug-16	
EURONA WIRELESS TELECOM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16	
FACEPHI BIOMETRIA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jun-15	
GRIÑO ECOLOGIC S.A.	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Mar-16	
GRIÑO ECOLOGIC S.A.	The Member is Nominated Adviser on AIM	Aug-16	
INDRA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-14	
LLEIDANETWORKS SERVEIS TELEMATICS	The Member is Nominated Adviser on AIM	Aug-16	
LLEIDANETWORKS SERVEIS TELEMATICS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Sep-15	
LLEIDANETWORKS SERVEIS TELEMATICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Sep-15	
MASMOVIL IBERCOM	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Aug-16	
MELIÁ HOTELS INTERNATIONAL, S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Feb-17	
MERCAL INMUEBLES SOCIMI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16	
NBI BEARINGS EUROPE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Apr-15	
NBI BEARINGS EUROPE	The Member is Nominated Adviser on AIM	Aug-16	



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
NBI BEARINGS EUROPE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Apr-15	
NEOL BIOSOLUTIONS	The Member is Nominated Adviser on AIM	Aug-16	
NEURON BIO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16	
NEURON BIO	The Member is Nominated Adviser on AIM	Aug-16	
OBSIDO SOCIMI	The Member is Nominated Adviser on AIM	Aug-16	
OBSIDO SOCIMI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16	
SECUOYA GRUPO COMUNICACION	The Member is Nominated Adviser on AIM	Aug-16	
SECUOYA GRUPO COMUNICACION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16	
SERVICE POINT SOLUTIONS, S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-16	
TRAJANO IBERIA SOCIMI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-15	
Investment Bank of Greece			
ADMIE STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
ALPHA BANK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
ALPHA BANK STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
CENERGY HOLDINGS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
COCA COLA HBC STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
DUTY FREE SHOPS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
EFG EUROBANK ERGASIAS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
ELLAKTOR S.A. (ex ELLINIKI TECNODOMIKI TEB) STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
FTSE/ASE LARGE CAP FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
FTSE/ASE LARGE CAP OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
GEK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
GRIVALIA PROPERTIES (ex EUROBANK PROPERTIES REAL ESTA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
HELLENIC EXCHANGES STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
HELLENIC PETROLEUM STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
HELLENIC TELECOM.ORGANISATION STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
HELLENIC TELECOM.ORGANISATION STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
INTRALOT STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
JUMBO S.A. STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
MOTOR OIL STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
MYTILINEOS HOLDINGS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
NATIONAL BANK OF GREECE STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
NATIONAL BANK OF GREECE STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
OPAP STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
OPAP STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
PIRAEUS BANK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
PIRAEUS BANK STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
PIRAEUS PORT AUTHORITY S.A. STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
PUBLIC POWER CORP. STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
PUBLIC POWER CORP. STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
TERNA ENERGY S.A. STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
TITAN CEMENT COMPANY STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17	
NIBC Markets			
ACCELL GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ACCELL GROUP	The Member is party to an agreement with the issuer relating to the production of the recommendation		
ACCYS TECHNOLOGIES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ACCYS TECHNOLOGIES	The Member is party to an agreement with the issuer relating to the production of the recommendation		
AMSTERDAM COMMODITIES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMSTERDAM COMMODITIES	The Member is party to an agreement with the issuer relating to the production of the recommendation		
BASIC-FIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
BATENBURG BEHEER	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
BATENBURG BEHEER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BATENBURG BEHEER	The Member is party to an agreement with the issuer relating to the production of the recommendation		
CTAC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CTAC	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
DPA GROEP	The Member is party to an agreement with the issuer relating to the production of the recommendation		
DPA GROEP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DPA GROEP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
ENVIPCO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ENVIPCO	The Member is party to an agreement with the issuer relating to the production of the recommendation		
EUROPEAN ASSETS TRUST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FORFARMERS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
FUGRO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
HEADFIRST SOURCE GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HEIJMANS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
HOLLAND COLOURS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
HOLLAND COLOURS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HOLLAND COLOURS	The Member is party to an agreement with the issuer relating to the production of the recommendation		
ICT AUTOMATISERING	The Member is party to an agreement with the issuer relating to the production of the recommendation		
ICT AUTOMATISERING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KENDRION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KONINKLIJKE BRILL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KONINKLIJKE BRILL	The Member is party to an agreement with the issuer relating to the production of the recommendation		
LUCAS BOLS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEDAP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEDAP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
NEDAP	The Member is party to an agreement with the issuer relating to the production of the recommendation		
NEWAYS ELECTRONICS INTERNATIONAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEWAYS ELECTRONICS INTERNATIONAL	The Member is party to an agreement with the issuer relating to the production of the recommendation		
NOVISOURCE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
REFRESCO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
ROOD MICROTEC	The Member is party to an agreement with the issuer relating to the production of the recommendation		
ROOD MICROTEC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SBM Offshore	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SLIGRO FOOD GROUP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SNOWWORLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SNOWWORLD	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
STERN GROEP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STERN GROEP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
TELEGRAAF MEDIA GROUP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
TEN CATE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
TIE KINETIX	The Member is party to an agreement with the issuer relating to the production of the recommendation		
TIE KINETIX	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TIE KINETIX	The Member owns a net long or short position exceeding the threshold of 0.5 % of the total issued share capital of the issuer		
VOPAK	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Op Corporate Bank			
CARGOTEC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
CAVERION	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
CRAMO	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
ELISA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
ELTEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
KAMUX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
KEMIRA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
KONECRANES	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
LEHTO GROUP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
METSO	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
RAPALA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
equinet Bank			
2 G Eenergy AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
2G Energy	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
2G Energy AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
4SC AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
4SC AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
58.COM ADR CL.A2/DL-00001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
A.A.A.AG ALLG.ANL.VERW	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AARON'S INC. A DL -,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ACCENTRO R.EST.AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ACTUANT A DL-,20	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ADVA OPT.NETW.SE O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ADVANTAGE OIL + GAS LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AETERNA ZENTARIS INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AGENNIX AG I.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AGRARIUS AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AGRARIUS AG INH. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AGRIUM INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AGROTON PUBLIC LTD GDR 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALACER GOLD CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALACER GOLD CORP. CDIS 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALARM.COM HOLDINGS INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALD EO 1,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALEXANDER + BALDWIN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALLIANCE RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALLREAL HLDGS NAM SF 50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALON USA PARTNERS UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALSTRIA OFFICE REIT-AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ALTAGAS LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AM.AXLE + MFG HLDGS DL-01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMBARELLA INC. DL -,00045	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMEDISYS INC. DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMER. SOFTWARE A DL-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMERCO DL-,25	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMERICAS SILVER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AMERIGO RESOURCES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ANACONDA MNG CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ANGLO AMERICAN SP.ADR 1/2	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ANHEUSER-BUSCH INBEV ADR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ARC LOG.PART.UTS R.L.P.I.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ARCANDOR AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ARCHROCK PARTNERS LP UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ARTISAN PART.AS.M.A DL-01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



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Company	Conflict Description	Operation Date	ESN Member Role
ASPEN TECH. INC. DL-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AT+S AUSTR.T.+SYSTEMT.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ATKORE INTL GROUP DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ATOSS SOFTWARE AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AUDI AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AURIZON HLDGS LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AUTOCANADA INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
AXIOM MINING CDI 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Aareal Bank AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Ad Pepper media	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Adidas AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Adler Modemärkte	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Adler Modemärkte AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Adler Real Estate AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Air Berlin Finance B.V.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Airbus Group SE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Aixtron SE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Aixtron SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
All for One Steeb AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Allianz AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Analytik Jena AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Axel Springer SE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
BACHEM HLDG NA B SF 0,05	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BAINS MER MONACO EO 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BAUMOT GROUP AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BAYER AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BB BIOTECH NAM. SF 0,20	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BB Biotech AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
BBS KRAFTFAHR.TEC.VZO O.N	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BE Semiconductor Industries N. V.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
BEIJING ENTERPRIS.ENV.GR.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BENDIGO + ADELAIDE BK LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BENITEC BIOPHARMA LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BERTRANDT AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BEST BUY CO. DL-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BET-AT-HOME.COM AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BHS TABLETOP AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BIOCRYST PHARMAC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BIOLASE INC. DL -,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BIRIMIAN LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BITAUTO HDGS LTD SP.ADR 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BLUE BUFFALO PET.P.DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BLUEBIRD BIO INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BMW AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
BOISE CASCADE CO. DL -,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BREVILLE GROUP LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BRIGHT HOR.FAM.SO.DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BRINKS CO. DL 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BRP INC. SUBORD.VOT. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BRUEDER MANNESM.AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
BRUNEL INTL NV EO -,03	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

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Company	Conflict Description	Operation Date	ESN Member Role
Balda AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Baumot Group AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Bavaria Industriekapital AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
BayWa AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Bayer AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Biotest AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Biotest AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Biotest AG Vorzugsaktien	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Brenntag AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Brenntag AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
C.H. ROB. WORLDWIDE NEW	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CALIDA HLDG NA SF 0,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CAMPING WORLD CL.A DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CANADA CARBON INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CANADIAN ZINC CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CANFOR CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CANICKEL MINING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CARA OPERATIONS SUB.VOT.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CASCADES INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CATALIS SE NAM. EO 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CECONOMY AG ST O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CECONOMY AG VZO O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CEOTRONICS AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CES ENERGY SOLUTIONS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CG Frankfurt Ostend GmbH & Co. KG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
CGG SA 12-19 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CGG SA 15-20 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CHANNELADVISOR DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CHOICE HOTELS INT. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CIECH S.A. ZY 5	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CINER RESOURCES UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CLEANAWAY WASTE MNGMT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CLEARFIELD INC. DL-01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CLEARWATER PAPER DL-,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CLOUD PEAK ENERGY DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COGNIZANT TECH. SOL.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COMPUGROUP MED.SE O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CONTIN.BLDG PRODS DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CONTINENTAL AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CORESTATE CAPITAL HLDG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COSTAR GROUP INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
COTT CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CPI PROPERTY GRP EO-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CREDIT AGRI. 16/19 ZO CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CREDIT SUISSE GP AG ADR 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CTS Eventim	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
CVR REFINING LP UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CYPRESS ENERGY PART.UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
CYTOTOOLS O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Ceconomy	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Celeo Fotovoltaico S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
Cenit AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Comdirect bank AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Commerzbank AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Constantin Medien AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Continental AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Conwert Immobilien Invest SE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Corestate Capital Holding S. A.	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Corestate Capital Holding SA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Corestate S.A.	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
CytoTools AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DACIAN GOLD LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DALDRUP+SOEHNE AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DATA MODUL AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DAVIDSTEIN INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DBV TECHNOLOGIES EO -,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DEMIRE Deutsche Mittelstand Real Estate AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DENISON MINES CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DEUTSCHE EUROSHOP NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DEUTSCHE WOHNEN SE INH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DF Deutsche Forfait AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DF Deutsche Forfait AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
DIAMOND OFFSHORE DRILLING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DIC ASSET AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DOMINION DIAMOND CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DOMINOS PIZZA ENTERPR.LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DOMTAR CORP. NEW DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DRDGOLD LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DRDGOLD LTD. RC 1 ADR/10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DRILLISCH AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DT.REAL ESTATE AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
DXP ENTERPRISES DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Daimler AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Daldrup & Söhne AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Daldrup & Söhne AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Daldrup & Söhne AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Delivery Hero AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Demire AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Deutsche Bank AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Deutsche Bildung Studienfonds II GmbH & Co. KG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Deutsche EuroShop AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Deutsche Pfandbriefbank AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Deutsche Real Estate Funds S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
Deutsche Telekom AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Deutscher Studenten Wohn Bond I S.A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Drillisch AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
EAGLE ENERGY INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EASTMAIN RES INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ECHELON CORP. NEW DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ECHO GLOBAL LOG. DL-,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EHOSTAR CORP. A DL -,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EDEL AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
EDGE THERAPEUTICS INC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EDGEWELL PERS.CARE DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EISEN- U.HUETTENWERKE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ELEC + ELTEK INTL SD-,80	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ELIS S.A. EO 1,-	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ELRINGKLINGER AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ENSIGN ENERGY SERVICES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ENSYNC INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EPLUS INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ERAMET 16-UND. CV FLR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ESSENDANT INC. DL-10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EUROKAI KGAA VZO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EUROMICRON AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EURONEXT N.V. WI EO 1,60	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EUROPCAR GROUPE SA A EO 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EVERTEC INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EVOLENT HEALTH A DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EXPRESS INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
EYEMAXX R.EST.AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ElringKlinger AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Elumeo AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
Elumeo SE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Euromicron AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
FABASOFT AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FAR LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FIGEAC AERO 17/22 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FISSION URANIUM CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FLEXIGROUP LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FLOW TRADERS N.V. EO -,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FONCIERE REG 13-19 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FORIS AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FORTEC ELEKTRO. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FORW.PHARMA A/S SP.ADR /2	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FREENET AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FROEHLICH BAU AG VZO I.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FUGRO N. V.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
FUNKWERK O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
FUTUREN 07-41 CV FLR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Ferratum	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Ferratum Oyi	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
Fielmann AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
First Sensor AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
First Sensor AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Foris AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Freenet AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Freenet AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Freund & Partner GmbH	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Fuchs Petrolub AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Funkwerk AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Fußballclub Gelsenkirchen-Schalke 04 e.V.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Fyber N.V.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
GALWAY GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GAZTRANSP.TECHNIG.EO-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GBK Beteiligungen AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GEA GROUP AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GENOCEA BIOSCIENC.DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GENWORTH MORTG.INS.AUSTR.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GEOPARK LTD. DL -,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GESCO AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
GEWA 5 to 1 GmbH & Co. KG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
GFT Technologies AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
GFT Technologies SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GLOBAL BL.THERAP. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GLOBALSTAR INC. DL -,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GN Store Nord A/S	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
GOLD RESERVE INC. A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GOLDEN GOLIATH RES.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GOLDEN REIGN RES.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GREENLAND HK HLDGS HD-,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GRIFOLS SP.ADR B EO-,10 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GULF ISLAND FABRICATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GUOLIAN SECS CO.LTD H YC1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
GWB IMMOBILIEN INH. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Gerry Weber	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Gesco AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Gesco AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Gigaset AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Gigaset AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
Gigaset AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Grenke AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
H+R KGAA INH. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HANN.ARM.SUS.INF.CA.DL-01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HARSCO CORP. DL 1,25	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HAVILAH RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HAWESKO HOLDING AG SVG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HECLA MNG DL-,25	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HELLA KGaA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
HIGHLDS PACIFIC KI-,40	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HORIZON NORTH LOGISTICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HORNBAACH HOLD.ST O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HYDROGENICS CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
HYFLUX LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Halloren Schokoladenfabrik AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Hannover Re AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Hapag Lloyd AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Heidelberg Pharma AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Heidelberger Druck	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Hornbach Holding	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Hugo Boss AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Hypoport AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Hörmann Finance GmbH	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
IAMGOLD CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
IDENTIV INC. DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
IFA HOTEL U.TOURISTI.O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
IMMOFINANZ 11/18 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INDUS Holding AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
ING GP NV SP.ADR/1 EO-,24	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INGENICO GRP 15/22 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INSTRUCTURE INC. DL-,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTER PARFUMS INC. DL-001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTERCEPT PHARMAC.DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTERPARFUMS S.A.INH.EO 3	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTERTAPE POLYMER GRP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTICA SYSTEMS AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
INTU (Jersey) 2 Limited	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
INVISION AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
IVANHOE MINES A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
IVU Traffic Technologies AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Immokles AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
Indra Systemas S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Inmarsat PLC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Innogy SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Isra Vision Systems AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
JUBII EUROPE N.V.B EO-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
K+S AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
KAP BETEILIGUNGS-AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KAR AUCTION SERVICES INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KELT EXPLORATION LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KENNADY DIAMONDS INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KHD HUMB.WEDAG VV NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KHD Humboldt Wedag International AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
KINGSW.FIN.SRVCS INC. NEW	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KOENIG + BAUER AG ST O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KOMAX HLDG NA SF 0,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KORIAN 17-UND. CV FLR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KOSMOS ENERGY LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
KTG Agrar SE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
KTG Energie GmbH	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
KWS Saat SE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
LADDER CAP.CORP.A DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LAUREATE EDUCATION CL.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LEGEND HLDGS CORP. H YC 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LEONI AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LEVON RES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LIFE HEALTHCARE GR.HLDGS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LUDW.BECK A.RATHAUSECK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LUMOS NETWORKS DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LYNAS CORP. LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
LYONDELLBAS.IND.A EO -,04	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Leoni AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Linde AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Logwin AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Logwin AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
M.A.X. Automation AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
M.A.X. Automation AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
MAANSHAN IRON STEEL H YC1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MAG SILVER CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MAGIC SOFTWARE ENT.IS-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MALIBU BOATS INC.A DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MARIN SOFTWARE DL -,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MATRIX SERV. CO. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MATTHEWS INTL CORP.A DL 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MAUREL ET PROM 15-21 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MAX Automation AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
MEADOW BAY GOLD NEW	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MEDNAX INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MEDX HEALTH CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
METRO AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
METRO AG ST O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
METRO AG VZO O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MIDDLEBY CORP. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MITEL NETWORKS CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MIX TELEMATICS SP.ADR 25	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MLP AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
MLP AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MOLSON COORS B DL 0,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MOMENTA PHARMAC. DL-,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MONTANA EXPLORATION CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MS INDUSTRIE AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MTU Aero Engines AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
MTU Aero Engines Hold	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MUELLER-DIE LILA LOGISTIK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MVISE AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
MYOVANT SCIENC. DL-,00001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Manz AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
Manz AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Merck KGaA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Merkur Bank KGaA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Merkur Bank KGaA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Metro Wholesale	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Muehlhan AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Muehlhan AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Münchener Rückversicherung AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
NAGAMBIE RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NANOFOCUS O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NATL OILWELL VARCO DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NAVIGATOR HLDGS PLC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NAVITAS LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEOPHOTONICS CORP. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEOPOST 15-UND. CV FLR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NESTLE NAM. ADR/1 SF 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEW HOME CO. INC. DL -,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEWALTA CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NEWPARK RES DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
NEXITY 16-23 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NIKO RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NORTH ATL.DRI.N.POSTDL-10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NORTHERN DYNASTY MINLS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NORTHLAND POWER INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NORTHWESTERN NEW DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NOVAGOLD RES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NOVO LITIO LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NUCOR CORP. DL-,40	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NUERNBERGER BET.AG VNA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
NYRSTAR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Nanogate AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Nemetschek AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Nexus AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
Nexus AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
NorCom Information Technology AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Norma Group	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
OBSIDIAN ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OCEANEERG INTL INC.DL-,25	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OCH-ZIFF CAPITAL MAN.CL A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OHB SE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
OHB SE O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OLL.BARG.OUTL.HLD.DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ONTEX GROUP NV EO -,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OPENLIMIT HLDG INH. SF-30	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ORBOTECH LTD IS -,0014	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OSISKO GOLD ROYALT.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OSRAM Licht AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OTTER TAIL DL 5	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OVB Holding AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
OVB Holding AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
PAION O.N	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PALADIN ENERGY LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PANORAMIC RES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PARAMOUNT RES LTD CLASS A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PARK ELEKTROCHEM. DL-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PARK U.BELLHEIMER AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PATRIZIA IMMOBILIEN NA ON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PATTERS.-UTI DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PBF ENERGY INC. CL.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PCC SE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
PENGROWTH ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PENNEY -JC- CO. DL-,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PETMED EXPRES.INC DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PFERDEWETTEN.DE AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PHILLIPS 66 PRT. LP UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PIERRE ET VACANC.14-19 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PINE CLIFF ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PLAINS ALL AMER. P. DL-,1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PLANET PAYMENT DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PLAZZA AG NAM. A SF-,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
POLARIS INDS INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
POOL CORP. DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PORSCHE AUTOM.HLDG VZO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
POWELL IND. INC. DL -,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PRAIRIESKY ROYALTY LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PRINC.PR.EQ.HLDGS EO-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PROCREDIT HLDG AG NA EO 5	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PROGRESS-WERK OBERK. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PROVIDENCE SRVC DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PSI AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PSI AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
PTC THERAPEUTICS DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PULSION Medical Systems SE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
PUMA SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PURA VIDA ENERGY NL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PVA TePla AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
PWO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Patrizia AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Pfeiffer Vacuum	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Pfeiffer Vacuum Technology AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
ProCredit Holding	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
ProCredit Holding AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Progress-Werk Oberkirch AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
QUINTIS LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
R. STAHL AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RADISYS CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RAGING RIVER EXPLORATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RALLYE 13-20 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RED ROCK RESORTS A DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
REGENERON PHARMAC.DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RELX N.V. ADRS EO-,07	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
REMY COINTREAU 16/26 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
REPLIGEN CORP. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RH DL-,0001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RIB Software AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
RIB Software AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
RIB Software SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ROB.GL ST.EQ.FD N.V. A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ROB.GL.T.R.BD F.REG.DH EO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ROCHE HLDG SP.ADR 1/8	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ROGERS SUGAR INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ROLINCO EO 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RPM INTERN. INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RTL Group	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
RUSHYDRO PAO ADR/100 RL 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
RYERSON HLDG CORP. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Recipharm A. B.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Redefine Properties Limited	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Remgro Jersey GBP Limited	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Remy Cointreau S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Rheinmetall AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		



List of shares in potential Conflicts of Interest (by ESN member)

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Company	Conflict Description	Operation Date	ESN Member Role
S&T AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SAF-Holland	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
SAIA INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SARACEN MINERAL HLDGS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SCHLOSS WACHENHEIM AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SCHNEIDER NATL.INC. CL.B	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SCHUMAG AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SCHWAE LBCHEN MOLKERE.O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SCIENT.GAMES A DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SEB S.A. 16/21 ZO CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SENATOR MINERALS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SEVEN PRINCIPLES AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SGL CARBON SE O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SHF COMMUNICAT.TECH.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SHF Communication Technologies AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
SHF Communication Technologies AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SHILOH INDS INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SHOPIFY A SUB.VTG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SHUTTERSTOCK INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SIEGFRIED HL NA SF 2	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SIF HOLDING N.V. EO-,20	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SIGMA HEALTHCARE LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SILVERCREST MTLs	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SINNER AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SINO ENERGY I.H.GR.HD-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SINO-GERMAN UTD AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SLEEP COUN.CANA.HLDG.INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SLM Solutions Group AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
SLM Solutions Group AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
SMCP S.A.S.(PROM.) EO-,10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SMT Scharf AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SMT Scharf AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
SOFTWARE AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SOLVAY S.A. A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SOUTHCROSS EN.PART.LP UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SPARTA AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SPIE S.A. EO 0,47	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SPIN MASTER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SPORTTOTAL AG INH. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ST.GEORGE MINING LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STARPHARMA HOLDINGS LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STARS GRP INC., THE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STEINHOFF INT.HLDG.EO-,50	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STELLA-JONES INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STORM RES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STRATA-X ENERGY LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STRAYER EDUCAT. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
STRIKE ENERGY LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SUNDANCE ENERGY AUSTRALIA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SUPERIOR EN. SVCS DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SUPERIOR PLUS CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		



List of shares in potential Conflicts of Interest (by ESN member)

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Company	Conflict Description	Operation Date	ESN Member Role
SUZLON ENERGY LTD GDR/4	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SYGNIS AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SYMRISE AG INH. O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
SYZYGY AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Sanochemia Pharmazeutika AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Schwälbchen AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Scout24 AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Seven Principles AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Seven Principles AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Siegfried Holding	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Singulus Technologies AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Sirius Minerals Finance Limited	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Software AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Stabilus	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Surteco	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Surteco SE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Symrise	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Syzygy AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Syzygy AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Südzucker AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Süss Microtec AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Süss Microtec AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
TAG IMMOBILIEN AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TAKKT AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
TAKKT AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TALLGRASS ENERGY PAR.UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TANAMI GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TANZANIAN ROYALTY EXPL.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TASMAN RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TCL MULTI.TEC.HLDGS HD 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TEN NETWORK HLDGS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TIGER RESOURCES LTD.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TINKA RESOURCES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TITANIUM CORP. INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TMC CONTENT GR.AG INH.SF1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TMM REAL EST.DEV.GDR S 1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TMM Real Estate Development plc	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
TMX GROUP LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TORO CO DL1	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TOUAX 15/20 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TRACTOR SUPPLY DL-,008	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TRI POINTE GRP INC.DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TRICAN WELL SERVICE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TROVAGENE INC.NEW DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TTL INF. TECHN. AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
TVI PAC. INC.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Talanx Group	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Tantalus Rare Earths AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
Technip S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Technotrans AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Telecolumbus	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
Telefonica Deutschland	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Telenor East Holding II A.S.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
UBISOFT ENTMT 16/21 ZO CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
UBISOFT Entertainment S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
UMPQUA HLDGS CORP.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
UNIBAIL-ROD.SE 14-21 ZOCV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
UNIBAIL-ROD.SE 15/22ZO CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
UNITED LABELS O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
United Internet AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Uzin Utz AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VA-Q-TEC AG NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VALEANT PHARMACEUT. INTL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VALLOUREC 17/22 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VALUE MGMT+RESH INH.O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VBH Holding AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue		
VDN AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VEOLIA ENVIRON.16/21 ZOCV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VERBUND AG INH. A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VICINITY CENTRES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VISCOM AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VIVANCO GRUPPE AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VIVINT SOLAR DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
VTION WIRELESS TECH. AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Va-Q-Tec AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription		
Valeo S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
Viscom AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
Viscom AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Viscom AG	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement		
Volkswagen AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
WALTER MEIER AG NAM.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WANDERER-WERKE AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WASGAU PROD.HAND. NA O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WCM AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
WCM Beteiligungs- und Grundbesitz AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WEBAC HOLDING AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WENDEL 16-19 CV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WESTERN GAS EQ.PART.UTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WILD BUNCH AG O.N.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WILDHORSE RES.DEV. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WINGSTOP INC. DL-,01	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WINPAK LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WISDOM SPORTS DL-,00025	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
WSP GLOBAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Westgrund AG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		
Willex AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
X-Elio Energy Finance S. A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
XENITH BANKSHS DL-625	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
XING	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
YELLOW PAGES LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
ZIOPHARM ONCOLOGY DL-,001	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
Zalando	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		



List of shares in potential Conflicts of Interest (by ESN member)

November 2017

Company	Conflict Description	Operation Date	ESN Member Role
Zukunftsenergien Wind Deutschland GmbH & Co. KG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
arsago Grundstücks- und Beteiligungsgesellschaft mbH	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed		
epigenomics AG	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
epigenomics AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
euromicron AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
manz AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
reconcept 07 Anleihe der Zukunftsenergien Wind Deutschland GmbH &	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed		
technotrans AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
va-Q-tec	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
va-Q-tec AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		
windeln.de	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)		
windeln.de AG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)		

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
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