



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
2G Energy AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
4SC AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
58.COM ADR CL.A2/DL-00001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
A.A.A.AG ALLG.ANL.VERW equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AARON'S INC. A DL -,50 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AB BIOTICS GVC Gaesco Beka	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Jul-10		
ABEO CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Oct-16		
ACCELL GROUP NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ACCENTRO R. EST. AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ACCESS INDUSTRIE CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Nov-17		
ACCOR CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	Bookrunner	
ACOTEL Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ACTUANT A DL-,20 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADEUNIS CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADMIE STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
ADVA OPT.NETW.SE O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADVANTAGE OIL + GAS LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADVICENNE NIBC Markets	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
AEROPORTS DE PARIS CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
AETERNA ZENTARIS INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AGENNIX AG I.A. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AGRARIUS AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AGRARIUS AG INH. O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AGRIUM INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AGROTON PUBLIC LTD GDR 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AIR France KLM CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
AIR LIQUIDE CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-16	Bookrunner	
AIRBUS SE				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
AKKA TECHNOLOGIES				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALACER GOLD CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALACER GOLD CORP. CDIS 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALARM.COM HOLDINGS INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALD EO 1,50				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALEXANDER + BALDWIN				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALLIANCE RESOURCES LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALLREAL HLDGS NAM SF 50				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALON USA PARTNERS UTS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALPHA BANK STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
ALPHA BANK STOCK OPTION				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
ALSTOM				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ALSTRIA OFFICE REIT-AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALTAGAS LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALTRI				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			
AM.AXLE + MFG HLDGS DL-01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMBARELLA INC. DL -,00045				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMEDISYS INC. DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMER. SOFTWARE A DL-,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMERCO DL-,25				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMERICAS SILVER				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMERIGO RESOURCES LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMSTERDAM COMMODITIES				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANACONDA MNG CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANGLO AMERICAN SP.ADR 1/2				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
ANHEUSER-BUSCH INBEV ADR equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANIMA HOLDING Banca Akros	Shares where the Member and/or its Group holds more than (A) (*)			31/3/2014-10/4/2014
APRR (AUTOROUTES PARIS RHIN RHONE) CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Nov-17	Bookrunner	
ARCANDOR AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ARCELORMITTAL CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ARCHROCK PARTNERS LP UTS equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AREVA CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ARKEMA CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ARTEMIS CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-17	Bookrunner	
ARTISAN PART.AS.M.A DL-01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ASF CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	Bookrunner	
ASPEN TECH. INC. DL-,10 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ASSYSTEM CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
AT+S AUSTR.T.+SYSTEMT. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ATKORE INTL GROUP DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ATLANTIA Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
ATOSS SOFTWARE AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ATRY'S HEALTH GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jun-17		
AUDI AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AURIZON HLDGS LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AUTOCANADA INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AUTOSTRAD TO-MI Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			MERCATO TAH
AXELERO Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
AXIOM MINING CDI 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Ad Pepper media equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Aixtron SE equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BACHEM HLDG NA B SF 0,05 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAINS MER MONACO EO 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
BANCA FARMAFACTURING Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			RISERVATA ISTITUZIONALE
BANCO BPM Banca Akros Banca Akros	Shares of companies part of the Member Group The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
BASIC-FIT NIBC Markets	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
BATENBURG BEHEER NIBC Markets NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BAUMOT GROUP AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAY HOTELS & LEISURE SOCIMI GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-17		
BAYER AG NA O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAYER AG NA O.N. NEUE equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BB BIOTECH NAM. SF 0,20 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BBS KRAFTFAHR.TEC.VZO O.N equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BCP Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
BEIJING ENTERPRIS.ENV.GR. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENDIGO + ADELAIDE BK LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENITEC BIOPHARMA LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BERTRANDT AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BEST BUY CO. DL-,10 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BEST UNION COMPANY Banca Akros	A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company			
BET-AT-HOME.COM AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BFCM SA CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
BHS TABLETOP AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOCRYST PHARMAC. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOLASE INC. DL -,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOORGANIC RESEARCH SER GVC Gaesco Beka	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Jan-12		
BIRIMIAN LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BITAUTO HDGS LTD SP.ADR 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BLUE BUFFALO PET.P.DL-,01				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BLUEBIRD BIO INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BMCE BANK				
CM-CIC Market Solutions	Shares of companies part of the Member Group			
BNP PARIBAS				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
BOISE CASCADE CO. DL -,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BOLLORE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
BOURBON				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BOUYGUES				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
BPCE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
BPI				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
BREVILLE GROUP LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRIGHT HOR.FAM.SO.DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRINKS CO. DL 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRP INC. SUBORD.VOT. O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRUEDER MANNESM.AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRUNEL INTL NV EO -,03				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BUREAU VERITAS S.A.				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
Baumot Group AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BayWa AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Biotest AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Biotest AG Vorzugsaktien				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Brenntag AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
C.H. ROB. WORLDWIDE NEW				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CALIDA HLDG NA SF 0,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CAMPING WORLD CL.A DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CANADA CARBON INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CANADIAN ZINC CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CANFOR CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CANICKEL MINING equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CAPE LIVE Banca Akros	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CAPGEMINI CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CARA OPERATIONS SUB.VOT. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CARBURES GVC Gaesco Beka	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Mar-12		
CARGOTEC Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
CARREFOUR CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CASCADES INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CASINO GUICHARD-PERRACHON CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CATALIS SE NAM. EO 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CATENON GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
CATTOLICA ASSICURAZIONI Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
CAVERION Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
CECONOMY AG ST O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CECONOMY AG VZO O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CELLNOVO CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-15		
CENERGY HOLDINGS STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
CEOTRONICS AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CES ENERGY SOLUTIONS equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CGG SA 12-19 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CGG SA 15-20 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CHANNELADVISOR DL-,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CHOICE HOTELS INT. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CHRISTIAN DIOR CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CIECH S.A. ZY 5 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CINER RESOURCES UTS equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CLASQUIN CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		Sponsor	
CLEANAWAY WASTE MNGMT equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CLEARFIELD INC. DL-01				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CLEARWATER PAPER DL-,0001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CLEVER GLOBAL				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-16		
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Aug-16		
CLOUD PEAK ENERGY DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CMA-CGM				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jul-17	Co-Lead Manager	
COCA COLA HBC STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
COFIDUR				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	Nov-11	Sponsor	
COFINA				
Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
COGNIZANT TECH. SOL.A				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COMPAGNIE AGRICOLE DE LA CRAU				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Feb-16		
COMPUGROUP MED.SE O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CONSTELLUM				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Nov-17	Bookrunner	
CONTIN.BLDG PRODS DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CONTINENTAL				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CONTINENTAL AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CORESTATE CAPITAL HLDG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CORTICEIRA AMORIM				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
COSTAR GROUP INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COTT CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CPI PROPERTY GRP EO-,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CREDIT AGRIC. 16/19 ZO CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CREDIT AGRICOLE SA				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CREDIT SUISSE GP AG ADR 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CROSSJECT				
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		Sponsor	
CTAC				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CTT				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
CVR REFINING LP UTS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CYPRESS ENERGY PART.UTS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CYTOTOOLS O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Corestate Capital Holding SA				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CytoTools AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DACIAN GOLD LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DAIMLER AG				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
DALDRUP+SOEHNE AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DANONE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
DATA MODUL AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DAVIDSTEA INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DBV TECHNOLOGIES EO -,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DELFINGEN				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-12		
DEMIRE Deutsche Mittelstand Real Estate AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DENISON MINES CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEUTSCHE EUROSHOP NA O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEUTSCHE WOHNEN SE INH				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEUTSCHE WOHNEN SE NEUE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DF Deutsche Forfait AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DIAMOND OFFSHORE DRILLING				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DIC ASSET AG NA O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DIGITAL BROS				
Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DIGITAL MAGIC				
Banca Akros	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
DIRECT ENERGIE				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jun-12		
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	Nov-13		
DOBANK				
Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			11/07/2017
DOGI INTERNATIONAL FABRICS				
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Jul-15		



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
DOM SECURITY				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DOMINOS PIZZA ENTERPR.LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DOMTAR CORP. NEW DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DPA GROEP				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DRDGOLD LTD. RC 1 ADR/10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DRILLISCH AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DT.REAL ESTATE AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DUTY FREE SHOPS STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
DXP ENTERPRISES DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Daldrup & Söhne AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Delivery Hero AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
E.ON				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
EAGLE ENERGY INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EASTMAIN RES INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ECHELON CORP. NEW DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ECHO GLOBAL LOG. DL-,0001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ECHOSTAR CORP. A DL -,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ECOSLOPS				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EDEL AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EDENRED				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
EDF				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**)	Mar-17	Bookrunner	- Bonds - Listed
EDGE THERAPEUTICS INC				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EDGEWELL PERS.CARE DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EDP				
Caixa Banco De Investimento	A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company			
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)			- Shares - Private Placement
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)			- Shares - Rights issue
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)			- Convertible Bonds
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)			- Bonds - Listed
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)			- Bonds - Listed
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
EDP RENOVAVEIS				
Caixa Banco De Investimento	A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company			
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			
EFG EUROBANK ERGASIAS STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
EISEN- U.HUETTENWERKE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ELEC + ELTEK INTL SD-,80				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ELIS 17/23 ZO CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ELIS S.A. EO 1,-				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ELISA				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
ELLAKTOR S.A. (ex ELLINIKI TECNODOMIKI TEB) STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
ELRINGKLINGER AG NA O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ELTEL				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
EMOVA				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ENDESA				
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Nov-14		
ENEL				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ENERVIT SPA				
Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ENGIE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	Bookrunner	
ENSGN ENERGY SERVICES				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ENSYNC INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ENVIPCO				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EPLUS INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ERAMET 16-UND. CV FLR				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ESI GROUP				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ESSENDANT INC. DL-10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ESSILOR INTL.				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
EUROESPES				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Apr-15		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
EUROKAI KGAA VZO				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EUROMICRON AG NA O.N.				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EURONA WIRELESS TELECOM				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16		
EURONEXT N.V. WI EO 1,60				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EUROPCAR				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-17	Bookrunner	
EUROPCAR GROUPE SA A EO 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EUROPEAN ASSETS TRUST				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EVERTEC INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EVOLENT HEALTH A DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EVOLIS				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Nov-11		
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		Sponsor	
EXPRESS INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EXPRIVIA				
Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			INIZIO ATTIVITA' SPECIALIST IL 30/09/2013
EYEMAXX R.EST.AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EYEMAXX Real Estate AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FABASOFT AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FACEPHI BIOMETRIA				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jun-15		
FALCK REWENABLES				
Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			Inizio attività dal 16/1/2013
FAR LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FAURECIA				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
FERMENTALG				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Oct-17		
FFP				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-17	Bookrunner	
FIGEAC AERO 17/22 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FISSION URANIUM CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FLEURY MICHON				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
FLEXIGROUP LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FLOW TRADERS N.V. EO -,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FONCIERE ATLAND				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FONCIERE DES REGIONS				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
FONCIERE REG 13-19 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
FORFARMERS NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
FORIS AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FORTEC ELEKTRO. O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FORW.PHARMA A/S SP.ADR /2 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FREENET AG NA O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FRESENIUS CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
FRESENIUS CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	Bookrunner	
FROEHLICH BAU AG VZO I.A. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FROMAGERIES BEL CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	Bookrunner	
FTSE/ASE LARGE CAP FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
FTSE/ASE LARGE CAP OPTION Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
FUGRO NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
FUNKWERK O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FUTUREN 07-41 CV FLR equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
First Sensor AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Freenet AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Fyber N.V. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GABETTI PROPERTY SOLUTION Banca Akros	Shares where the Member and/or its Group holds more than (A) (*)			
GALP ENERGIA Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			
GALWAY GOLD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GAMBERO ROSSO Banca Akros	The Member is Nominated Adviser on AIM			
GAMENET Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
GASPLUS Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			dal 6/5/2010
GAZTRANSP.TECHNIG.EO-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GBK Beteiligungen AG				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GBL				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
GEA GROUP AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GECINA				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Sep-17	Bookrunner	
GEK STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
GENERIX				
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GENFIT				
CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GENOCEA BIOSCIENC.DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GENOMIC VISION				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Sep-07		
GENWORTH MORTG.INS.AUSTR.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GEOPARK LTD. DL -,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GFT Technologies SE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GL EVENTS				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GLOBAL BL.THERAP. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GLOBALSTAR INC. DL -,0001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GOLD RESERVE INC. A				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GOLDEN GOLIATH RES.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GOLDEN REIGN RES.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GPI				
Banca Akros	The Member is Nominated Adviser on AIM			
GREENLAND HK HLDGS HD-,50				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GRIFOLS SP.ADR B EO-,10 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GRIVALIA PROPERTIES (ex EUROBANK PROPERTIES REAL ESTATE INVESTMENT COMPANY) STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
GRIÑO ECOLOGIC S.A.				
GVC Gaesco Beka	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	Mar-16		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
GROUPE AUCHAN				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
GROUPE OPEN				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jan-16		
GROUPE PARTOUCHE				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GROUPE PSA				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	Bookrunner	
GROUPE SFP1				
CM-CIC Market Solutions CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GRUPO INSUR				
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Jul-17		
GULF ISLAND FABRICATION				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GUOLIAN SECS CO.LTD H YC1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GWB IMMOBILIEN INH. O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Gesco AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Gigaset AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Groupe Bruxelles Lambert SA				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-17	Bookrunner	
H+R KGAA INH. O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HANN.ARM.SUS.INF.CA.DL-01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HARSCO CORP. DL 1,25				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HAVAS				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
HAVILAH RESOURCES LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HAWESKO HOLDING AG SVG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HEADFIRST SOURCE GROUP				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HEATHROW AIRPORT				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-17	Bookrunner	
HECLA MNG DL-,25				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HELLENIC EXCHANGES STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
HELLENIC PETROLEUM STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
HELLENIC TELECOM.ORGANISATION STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
HELLENIC TELECOM.ORGANISATION STOCK OPTION				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
HF COMPANY				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HIGHLDS PACIFIC KI-,40				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HKSCAN				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
HOLLAND COLOURS				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HORIZON NORTH LOGISTICS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HORNBAACH HOLD.ST O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
HUHTAMÄKI Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
HYDROGENICS CORP. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HYFLUX LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Heidelberg Pharma AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
I GRANDI VIAGGI Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
IAMGOLD CORP. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IBERSOL Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
ICADE CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ICT AUTOMATISERING NIBC Markets NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
IDEAMI Banca Akros Banca Akros	The Member is Nominated Adviser on AIM The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
IDENTIV INC. DL-,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IFA HOTEL U.TOURISTI.O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ILIAD CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-17	Bookrunner	
ILSOLE24ORE Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			30/10/17-10/11/17
IMERYS CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	Bookrunner	
IMMOFINANZ 11/18 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IMPRESA Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
INDEL B Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			dal 4/5/2017
INDRA GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-14		
INDUSTRIAL STARS OF ITALY 3 Banca Akros Banca Akros	The Member is Nominated Adviser on AIM The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			Posizione netta lunga dello 0,91% del capitale
ING GP NV SP.ADR/1 EO-,24 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INGENICO GRP 15/22 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INNOVAITALY 1 Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
INSTRUCTURE INC. DL-,0001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTER PARFUMS INC. DL-001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
INTERCEPT PHARMAC.DL-,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTERPARFUMS S.A.INH.EO 3 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTERTAPE POLYMER GRP equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTICA SYSTEMS AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTRALOT STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
INVISION AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INYPSA GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Jul-17		
IVANHOE MINES A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IVU Traffic Technologies AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Innogy SE equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Isra Vision Systems AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
JABIL CIRCUIT CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-17	Co-Lead Manager	
JABS Holdings CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-17	Co-Lead Manager	
JCDECAUX CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	May-16	Bookrunner	
JERONIMO MARTINS Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
JUBII EUROPE N.V.B EO-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
JUMBO S.A. STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
KAMUX Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
KAP BETEILIGUNGS-AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KAR AUCTION SERVICES INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KAUFMAN & BROAD CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
KELT EXPLORATION LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KEMIRA Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
KENDRION NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KERING CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
KEYRUS CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KHD HUMB.WEDAG VV NA O.N.				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KLEPIERRE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
KOENIG + BAUER AG ST O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KOMAX HLDG NA SF 0,10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KONECRANES				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
KONINKLIJKE BRILL				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KORIAN				
CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
KORIAN 17-UND. CV FLR				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KOSMOS ENERGY LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LADDER CAP.CORP.A DL-.001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LAFARGEHOLCIM Ltd				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
LAFARGEHOLCIM Ltd				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Aug-17	Bookrunner	
LANSON-BCC				
CM-CIC Market Solutions	Shares where the Member and/or its Group holds more than (A) (*)			
LAUREATE EDUCATION CL.A				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LEGEND HLDGS CORP. H YC 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LEGRAND				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jun-17	Bookrunner	
LEHTO GROUP				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
LEONI AG NA O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LEVON RES LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LLEIDANETWORKS SERVEIS TELEMATICS				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Sep-15		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Sep-15		
LUCAS BOLS				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LUDW.BECK A.RATHAUSECK				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LUZ SAUDE				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
LVMH				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
LYNAS CORP. LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LYONDELLBAS.IND.A EO -.04				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Logwin AG				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
M.A.X. Automation AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAANSHAN IRON STEEL H YC1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAG SILVER CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAGHREBAIL				
CM-CIC Market Solutions	Shares of companies part of the Member Group			
MAGIC SOFTWARE ENT.IS-.01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAISONS D.MONDE 17-23 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAISONS FRANCE				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MALIBU BOATS INC.A DL-.01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MARIN SOFTWARE DL -,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MASMOVIL IBERCOM				
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Aug-16		
MATRIX SERV. CO. DL-.01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MATTHEWS INTL CORP.A DL 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAUREL ET PROM				
CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
MAUREL ET PROM 15-21 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MEADOW BAY GOLD NEW				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MEDNAX INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MEDX HEALTH CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MELIÁ HOTELS INTERNATIONAL, S.A.				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Feb-17		
MEMSCAP				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MERCAL INMUEBLES SOCIMI				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16		
METABOLIC EXPLORER				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
METRO AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
METRO AG ST O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
METRO AG VZO O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
METSO				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
MICHELIN				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
MIDDLEBY CORP. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MITEL NETWORKS CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
MIX TELEMATICS SP.ADR 25 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MLP AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOLSON COORS B DL 0,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOMENTA PHARMAC. DL-.0001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MONTANA EXPLORATION CORP. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOTA ENGIL Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group had an Investment Banking services client relationship (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			
MOTOR OIL STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
MS INDUSTRIE AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MTU Aero Engines Hold equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MUELLER-DIE LILA LOGISTIK equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MVISE AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MYOVANT SCIENC. DL-.00001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MYTILINEOS HOLDINGS STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
Merkur Bank KGaA equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Muehlhan AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NAGAMBIE RESOURCES LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NANOBIOTIX CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
NANOFOCUS O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NATIONAL BANK OF GREECE STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
NATIONAL BANK OF GREECE STOCK OPTION Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
NATL OILWELL VARCO DL-.01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NAVIGATOR HLDGS PLC equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NAVITAS LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NBI BEARINGS EUROPE GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Apr-15		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
GVC Gaesco Beka	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	Apr-15		
NEDAP NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NEOL BIOSOLUTIONS				
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
NEOPHOTONICS CORP. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEOPOST 15-UND. CV FLR				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NESTLE NAM. ADR/1 SF 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEURON BIO				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
NEURONES				
CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Feb-17		
NEW HOME CO. INC. DL -,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEWALTA CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEWAYS ELECTRONICS INTERNATIONAL				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEWPARK RES DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEXITY 16-23 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NIKO RESOURCES LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORTH ATL.DRI.N.POSTDL-10				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORTHERN DYNASTY MINLS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORTHLAND POWER INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORTHWESTERN NEW DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NOS				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**)- Bonds - Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
NOTORIUS PICTURES				
Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
Banca Akros	The Member is Nominated Adviser on AIM			
NOVABASE				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
NOVAGOLD RES				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NOVISOURCE				
NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NOVO LITIO LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NRJ GROUP				
CM-CIC Market Solutions	Shares where the Member and/or its Group holds more than (A) (*)			
NUCOR CORP. DL-,40				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
NUERNBERGER BET.AG VNA equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NYRSTAR equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Nanogate AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NorCom Information Technology AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OBSIDIAN ENERGY equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OBSIDO SOCIMI GVC Gaesco Beka GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member is Nominated Adviser on AIM	Aug-16 Aug-16		
OCEANEERG INTL INC.DL-,25 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OCH-ZIFF CAPITAL MAN.CL A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OHB SE O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OLL.BARG.OUTL.HLD.DL-,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ONTEX GROUP NV EO -,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ONXEO CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OPAP STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
OPAP STOCK OPTION Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
OPENLIMIT HLDG INH. SF-30 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ORANGE CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ORBOTECH LTD IS -,0014 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ORDINA NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
ORSERO Banca Akros	The Member is Nominated Adviser on AIM			
OSISKO GOLD ROYALT. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OSMOZIS CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OSRAM Licht AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OTTER TAIL DL 5 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OVB Holding AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PAION O.N equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PALADIN ENERGY LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PANORAMIC RES LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PARAMOUNT RES LTD CLASS A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
PARK ELEKTROCHEM. DL-,10 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PARK U.BELLHEIMER AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PASSAT CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PATRIZIA IMMOBILIEN NA ON equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PATTERS.-UTI DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PBF ENERGY INC. CL.A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PENGROWTH ENERGY equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PENNEY -JC- CO. DL-,50 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PERNOD RICARD CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
PETMED EXPRES.INC DL-,001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PFERDEWETTEN.DE AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PHARMAGEST INTERACTIVE CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PHAROL Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
PHILLIPS 66 PRT. LP UTS equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PIERRE ET VACANC.14-19 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PIERRE ET VACANC.17-23 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PIERRE ET VACANCES CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds			
PINE CLIFF ENERGY equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PIRAEUS BANK STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
PIRAEUS BANK STOCK OPTION Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
PIRAEUS PORT AUTHORITY S.A. STOCK FUTURE Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
PIRELLI Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			18-28/9/17
PLAINS ALL AMER. P. DL-,1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PLASTIC OMNIUM CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
PLAZZA AG NAM. A SF-,50 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
POLARIS INDS INC. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
POOL CORP. DL-,001				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PORSCHE AUTOM.HLDG VZO				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
POWELL IND. INC. DL -,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PRAIRIESKY ROYALTY LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PRELIOS				
Banca Akros	Shares where the Member and/or its Group holds more than (A) (*)			
PREMUDA				
Banca Akros	Shares where the Member and/or its Group holds more than (A) (*)			Dal 21/12/2010
PRIME INDUSTRIE				
Banca Akros	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			DAL 1/3/2013
PRINC.PR.EQ.HLDGS EO-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PROCREDIT HLDG AG NA EO 5				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PROGRESS-WERK OBERK. O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PROVIDENCE SRVC DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PSI AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PTC THERAPEUTICS DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PUBLIC POWER CORP. STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
PUBLIC POWER CORP. STOCK OPTION				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
PUBLICIS				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
PUMA SE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PURA VIDA ENERGY NL				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PVA TePla AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ProCredit Holding AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Progress-Werk Oberkirch AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
QUINTIS LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
QUONIA Socimi, S.A.				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jan-18		
R. STAHL AG NA O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RADISYS CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RAGING RIVER EXPLORATION				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RALLYE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
RALLYE 13-20 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RAPALA				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
RCI BANQUE CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Mar-17	Bookrunner	
RED ROCK RESORTS A DL-.01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
REFRESCO NIBC Markets	The Member and/or its Group provided debt financing (B)			
REGENERON PHARMAC.DL-.001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RELX CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
RELX N.V. ADRS EO-.07 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
REMY COINTREAU 16/26 CV equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
REN Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group had an Investment Banking services client relationship (B) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securities			
RENAULT CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
RENAULT SAS CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	Bookrunner	
REPLIGEN CORP. DL-.01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
REXEL CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Feb-17	Bookrunner	
RH DL-.0001 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RIB Software SE equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RISANAMENTO Banca Akros	Shares where the Member and/or its Group holds more than (A) (*)			Dal 4/2/2011 - conclusa op. AU
ROB.GL.ST.EQ.FD N.V. A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROB.GL.T.R.BD F.REG.DH EO equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROCHE HLDG SP.ADR 1/8 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROGERS SUGAR INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROLINCO N.V. EO 1 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROOD MICROTEC NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROVIO Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
RPM INTERN. INC. DL-.01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RTE CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Oct-17	Bookrunner	
RTE (Réseau de Transport d'Electricité)				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
RUSHYDRO PAO ADR/100 RL 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RYERSON HLDG CORP. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
S&T AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SAFRAN				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SAGESSE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SAIA INC. DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SAINT-GOBAIN				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SALAFIN				
CM-CIC Market Solutions	Shares of companies part of the Member Group			
SALINI IMPREGILO				
Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
SANEF				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SANOFI				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SARACEN MINERAL HLDGS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SARAS				
Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
SCHLOSS WACHENHEIM AG O.N				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SCHNEIDER ELECTRIC SE				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SCHNEIDER NATL.INC. CL.B				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SCHUMAG AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SCHWAELEBCHEN MOKKERE.O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SCIENT.GAMES A DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SEB S.A. 16/21 ZO CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SECUOYA GRUPO COMUNICACION				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-16		
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Aug-16		
SEMAPA				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securitites			
SENATOR MINERALS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SERGE FERRARI GROUP				
CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
SERVICE POINT SOLUTIONS, S.A.				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-16		
SEVEN PRINCIPLES AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
SGL CARBON SE O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHF COMMUNICAT.TECH. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHF Communication Technologies AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHILOH INDS INC. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHOPIFY A SUB.VTG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHUTTERSTOCK INC. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIAS Banca Akros Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			MERCATO TAH
SIEGFRIED HL NA SF 2 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIF HOLDING N.V. EO-,20 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIGMA HEALTHCARE LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SII CM-CIC Market Solutions CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SILMÅSEMA Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
SILVERCREST MTLs equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SINNER AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SINO ENERGY I.H.GR.HD-,10 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SINO-GERMAN UTD AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SLEEP COUN.CANA.HLDG.INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SLIGRO FOOD GROUP NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SMCP S.A.S.(PROM.) EO-,10 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SMT Scharf AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SMURFIT KAPPA PLC CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	Co-Lead Manager	
SNOWWORLD NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOCIETE FONCIERE LYONNAISE S.A. CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SOCIETE GENERALE CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SODEXO CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
SOFRAGI CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOFTWARE AG NA O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOLARIA CASIOPEA				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
GVC Gaesco Beka	The Member is Nominated Adviser on AIM	Dec-17		
SOLVAY S.A. A equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SONAE Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*) The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
SONAE CAPITAL Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*) Shares where the Member is "Liquidity Provider" or "Market-maker" (**) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
SONAE INDUSTRIA Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**) The Member and/or its Group provided debt financing (B) The Member and/or its Group holds a position in debt securitites			
SOUTHCROSS EN.PART.LP UTS equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPARTA AG O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPIE S.A. EO 0,47 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPIN MASTER equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPIR COMMUNICATION CM-CIC Market Solutions	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPORTTOTAL AG INH. O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ST.GEORGE MINING LTD equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STARPHARMA HOLDINGS LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STARS GRP INC., THE equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STEINHOFF INT.HLDG.EO-,50 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STELLA-JONES INC. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STERN GROEP NIBC Markets NIBC Markets	Shares where the Member is "Liquidity Provider" or "Market-maker" (**) Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
STOCKMANN Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
STRAYER EDUCAT. DL-,01 equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STRIKE ENERGY LTD. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STUDENT PROPERTIES SPAIN SOCIMI, S.A. GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Dec-17		
SUEZ CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	Bookrunner	



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
SUNDANCE ENERGY AUSTRALIA				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUPERIOR EN. SVCS DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUPERIOR PLUS CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUZLON ENERGY LTD GDR/4				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SYGNIS AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SYMRISE AG INH. O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Schaltbau Holding AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Scout24 AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Seven Principles AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Surteco SE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Syzygy AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Süss Microtec AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TAG IMMOBILIEN AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TAG IMMOBILIEN AG NEUE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TAKKT AG				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TALLGRASS ENERGY PAR.UTS				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TALTALK				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**)	Jan-17	Co-Lead Manager	Listed
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**)	Jan-17	Bookrunner	Listed
TANAMI GOLD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TANZANIAN ROYALTY EXPL.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TASMAN RESOURCES LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TCL MULTI.TEC.HLDGS HD 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TECHNIPFMC Plc				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
TELECOM ITALIA				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
TELEFONICA				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
TELEGRAAF MEDIA GROEP				
NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TEREOS				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**)	Jun-16	Bookrunner	Listed
TERNA ENERGY S.A. STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
TERREIS				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TERVEYSTALO				
Op Corporate Bank	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
TESSI				
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	Feb-17		
CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	Feb-17	Co-Lead Manager	
TEVA PHARMACEUTICAL				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
THALES				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
THE NAVIGATOR				
Caixa Banco De Investimento	Shares where the Member and/or its Group holds more than (A) (*)			
Caixa Banco De Investimento	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
Caixa Banco De Investimento	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caixa Banco De Investimento	Any other known Non-Investment Banking Service provided (B)			
Caixa Banco De Investimento	The Member and/or its Group provided debt financing (B)			
Caixa Banco De Investimento	The Member and/or its Group holds a position in debt securities			
TIGER RESOURCES LTD.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TINKA RESOURCES LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TITAN CEMENT COMPANY STOCK FUTURE				
Investment Bank of Greece	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Aug-17		
TITANIUM CORP. INC.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TMC CONTENT GR.AG INH.SF1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TMM REAL EST.DEV.GDR S 1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TMX GROUP LTD				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TOD'S				
Banca Akros	A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company			
TORO CO DL1				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TOTAL				
CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
TOUAX 15/20 CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TRACTOR SUPPLY DL-,008				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TRAJANO IBERIA SOCIMI				
GVC Gaesco Beka	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	Jul-15		
TRI POINTE GRP INC.DL-,01				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TRICAN WELL SERVICE				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TROVAGENE INC.NEW DL-,001				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TTL INF. TECHN. AG O.N.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UBISOFT ENTMT 16/21 ZO CV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UMPQUA HLDGS CORP.				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UNIBAIL-ROD.SE 14-21 ZOCV				
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UNIBAIL-ROD.SE 15/22ZO CV				



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

December 2017

Company	Conflict Description	Operation Date	ESN Member Role	Conflict Details
equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UNIBAIL-RODAMCO CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds	Feb-17	Co-Lead Manager	
UNICREDIT Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
UNITED LABELS O.N. equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Uzin Utz AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VALEANT PHARMACEUT. INTL equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VALEO CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Jan-17	Bookrunner	
VALLOUREC CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
VEI1 Banca Akros	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
VEOLIA ENVIRONNEMENT CM-CIC Market Solutions CM-CIC Market Solutions	Shares where the Member and/or its Group holds more than (A) (*) Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
VEXIM CM-CIC Market Solutions	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
VINCI CM-CIC Market Solutions CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker) The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	Apr-17	Bookrunner	
VISIATIV CM-CIC Market Solutions	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
VISIBILIA EDITORE Banca Akros	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
VITA EDITORIALE Banca Akros Banca Akros	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**) The Member is Nominated Adviser on AIM			
VIVENDI CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
VODAFONE CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
VOPAK NIBC Markets	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Viscom AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
WENDEL CM-CIC Market Solutions	Debt instruments where the Member is "Specialist" (Liquidity Providers or Market-maker)			
ZODIAC AEOROSPACE CM-CIC Market Solutions	The Member owns a net long position exceeding the threshold of 0.5 % of the total issued share capital of the issuer			
epigenomics AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
euromicron AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
manz AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
technotrans AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
va-Q-tec AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
windelIn.de AG equinet Bank	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			