



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
Banca Akros				
A2A	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			
AMPLIFON	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BANCA IFIS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BANCA IFIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			DAL 28/6/2010 AL 16/7/2010
BANCA POP. DI MILANO	Shares of companies part of the Member Group			
BANCA POP. MILANO 17/10/16	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			ottobre 2009 - mantenere fino a ottobre 2010
BANCA POPOLARE EMILIA ROMAGNA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BEST UNION COMPANY	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			fine specialist il 21/5/2010 - mantenere 1 anno
BIESSE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BOND ENI 2009/2015 TF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			giugno 2009 - mantenere fino a giugno 2010
BOND ENI 2009/2015 TV	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			giugno 2009 - mantenere fino a giugno 2010
EL.EN SPA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ENEL SPA TF 2010/2016	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			collocamento dal 15/2 - 26/2/2010
ENEL SPA TV 2010/2016	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
ENERVIT SPA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
FIERA DI MILANO	Shares where the Member and/or its Group holds more than (A) (*)			
GASPLUS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			dal 6/5/2010
GRANITI FIANDRE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
I GRANDI VIAGGI	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
MEDIOBANCA TF 2009/2014	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			11/2009 - mantenere fino a 11/2010
MEDIOBANCA TV 2009/2014	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			11/2009 - mantenere fino a 11/2010
NEUROSOFT	The Member is Nominated Adviser on AIM			
PRIMA INDUSTRIE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			op. AU CAP. conclusa l' 11/2/2010
PRIMA INDUSTRIE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			from 22/06/2009
OF INVESTIETICO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SO.PA.F. 3,875% 2012	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds			
YOOX S.P.A.	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			11/09 - mantenere fino a 11/2010
ZUCCHI ORD & SAV	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
Bank Degroof				
AEDIFICA	Shares where the Member and/or its Group holds more than (A) (*)			
AEDIFICA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 06	Lead Manager	
AEDIFICA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)		Financial Advisor of the Company	
AEDIFICA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
AIR ENERGY	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	mag 08	Paying and Centralising agent	
AIR ENERGY	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 07	Lead Manager	
ARSEUS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	set 07	Co-Lead Manager	
ATENOR	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Joint-Lead Manager	
ATENOR	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BANIMMO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	lug 09	Lead Manager	
BANIMMO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BANIMMO	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 07	Lead Manager	
BOIS SAUVAGE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	dic 06	Playing Agent	
BOIS SAUVAGE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BRANTANO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	gen 08	Financial Advisor of the Bidder	
BSB INTERNATIONAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	feb 10		
CFE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 06	Co-Lead Manager	
COFINIMMO	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	dic 09	Lead Manager	
D'IETEREN	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DECEUNINCK	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	giu 06	Financial Advisor of the Family	Sale of 17.5% of family shareholders stake
DUVEL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ECODIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 07	Lead Manager	
ELECTRABEL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	lug 07	Fairness opinion	
ELIA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
EVADIX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 06	Lead Manager	
FLORIDIENNE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
FLUXYS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	giu 08	Fairness opinion	
FORTIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	set 08	Independent Financial Advisor	



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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
FORTIS BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	ott 07	Co-Manager	
FOUNTAIN	Shares where the Member and/or its Group holds more than (A) (*)			
GIMV	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	nov 07		Financial advisor to the seller
GIMV	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	mar 09	Advisor	
GIMV	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	mar 09	Advisor	
GIMV	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
GLACE DE MOUSTIER	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	ago 07	Fairness opinion	
I.R.I.S.	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
IBT	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
INTERVEST RETAIL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
IPTE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
KINEPOLIS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
LEASINVEST	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
LUXEMPART	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	gen 09	Independent Financial Advisor	
LUXEMPART	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
MECOM	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	mar 08	Financial Advisor of the Company	
MONTEA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
NYRSTAR	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 07	Co-Manager	
PINGUIN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	ott 07	Selling agent	
PINGUIN	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
PORTHUS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 06	Co-Lead Manager	
PROXIMEDIA	Shares where the Member and/or its Group holds more than (A) (*)			
REAL SOFTWARE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	set 06	Independent Expert Opinion	Debt conversion into equity
REALCO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
RESILUX	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	mar 08		
SAPEC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
TER BEKE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
UTERON PHARMA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)	apr 10	Financial Advisor of the Company	
VAN DE VELDE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
CM-CIC Securities				
A NOVO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADL PARTNER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 06		
AEDIAN	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
AEDIAN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AKKA TECHNOLOGIE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 05		
AKKA TECHNOLOGIES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ARTEMIS/PRR	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds	lug 06		
BFCM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOALLIAN.PHARMA.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CAP GEMINI	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds	giu 05		
CAPELLI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 05		
CAPELLI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CEGID GROUP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CEGID S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CIC CAT.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CLARINS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ago 08		
COSTIMEX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	gen 08		
EDF	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	nov 05		
ESI GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EVOLIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EVOLIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EVOLIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 06		
EXEL INDUSTRIES A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FLEURY MICHON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FLEURY MICHON	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
FONCIERE ATLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	dic 06		
FONCIERE ATLAND	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
FONCIERE DES 6 ET 7EME	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FONCIERE DES 6 ET 7EME	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 07		
FONCIERE EUROPE LOGISTIQUE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	gen 07		
FONCIERE MASSENA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	gen 07		
FONCIERE MASSENA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GAZ DE FRANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	lug 05		
GENEFIT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GENERIX	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GENERIX	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GENFIT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GL EVENTS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	nov 05		
GL EVENTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	set 07		
GL EVENTS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GROUPE BOURBON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GROUPE OPEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GUILLEMOT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HAVAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	gen 08		
HF COMPANY	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
HF COMPANY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IMS INTL METAL SCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 06		
KEYRUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LACIE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LATECOERE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 05		
LE TANNEUR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAISONS FRANCE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MB ELECTRONIQUE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 07		
MEMSCAP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MERCYALIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 05		
METABOLIC EXPLORER	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
METABOLIC EXPLORER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
METEX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	apr 07		
MINDSCAPE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MINDSCAPE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	dic 07		
MINDSCAPE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MRM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NATIXIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	nov 06		
NATUREX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	gen 05		
NEUF CEGETEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mag 08		
NEURONES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEXT RADIO TV	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	nov 08		
NEXTRADIO TV	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ott 05		
ORAPI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	ago 09		
OSIATIS SA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PAREF	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	apr 07		
PASSAT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PLASTIC OMNIUM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PRODWARE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 06		
REXEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	apr 07		
SANEF	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 05		
SASA INDUSTRIE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 07		
SECURIDEV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIDETRADE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 05		
SII	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SII	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SOCIETE CENTRALE DES BOIS ET SCIERIES DE LA MANCHE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOCIETE GENERALE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	feb 08		
SOGELAIR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOREFICO COIFFURE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	dic 08		
SPIR COMMUNICATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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STAFF AND LINE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SYNTEC INFORMATIQUE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SYSTAR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	dic 09		
SYSTAR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TESSI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
THERMOCOMPACT	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	apr 07		
TRILOGIO	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	nov 06		
TRILOGIO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
U10	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VINCI	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	apr 06		
Caixa Banco De Investimento				
ALTRI	The Member and/or its Group had an Investment Banking services client relationship (B)			
ALTRI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ALTRI	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BANIF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
BANIF	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BCP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BCP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
BCP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
BCP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
BCP	Shares where the Member and/or its Group holds more than (A) (*)			
BES	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
BES	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
BES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BRISA	The Member and/or its Group had an Investment Banking services client relationship (B)			
BRISA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BRISA	Shares where the Member and/or its Group holds more than (A) (*)			
CIMPOR	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
CIMPOR	Shares where the Member and/or its Group holds more than (A) (*)			
CIMPOR	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			
CIMPOR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
COFINA	The Member and/or its Group had an Investment Banking services client relationship (B)			
COFINA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COFINA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CORTICEIRA AMORIN	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds			
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
EDP	Shares where the Member and/or its Group holds more than (A) (*)			
EDP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
EDP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EDP	A director or a board person of the Member and/or its Group is an officer, director, board or supervisory board member of the Company			
EDP	The Member and/or its Group had an Investment Banking services client relationship (B)			
EDP RENOVAVEIS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
EDP RENOVAVEIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EDP RENOVAVEIS	The Member and/or its Group had an Investment Banking services client relationship (B)			
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
GALP ENERGIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
GALP ENERGIA	The Member and/or its Group had an Investment Banking services client relationship (B)			
GALP ENERGIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
IBERSOL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IBERSOL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
IMPRESA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
INAPA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
INAPA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
JERONIMO MARTINS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
JERONIMO MARTINS	The Member and/or its Group had an Investment Banking services client relationship (B)			
JERONIMO MARTINS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			



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

Julgio 10

Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
MARTIFER	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MARTIFER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MARTIFER	The Member and/or its Group had an Investment Banking services client relationship (B)			
MARTIFER	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
MARTIFER	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
MEDIA CAPITAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
MEDIA CAPITAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MOTA ENGL	The Member and/or its Group had an Investment Banking services client relationship (B)			
MOTA ENGL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
MOTA ENGL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NOVABASE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NOVABASE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
OREY ANTUNES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OREY ANTUNES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PORTUCEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
PORTUCEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
PORTUCEL	The Member and/or its Group had an Investment Banking services client relationship (B)			
PORTUCEL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PORTUGAL TELECOM	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			
PORTUGAL TELECOM	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
PORTUGAL TELECOM	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PORTUGAL TELECOM	Shares where the Member and/or its Group holds more than (A) (*)			
RAMADA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
REDITUS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
REDITUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
REN	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
REN	Shares where the Member and/or its Group holds more than (A) (*)			
REN	The Member and/or its Group had an Investment Banking services client relationship (B)			
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
REN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
SAG	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SAG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
SEMAPA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
SEMAPA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SOARES DA COSTA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SOARES DA COSTA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SONAE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SONAE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
SONAE CAPITAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SONAE CAPITAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
SONAE INDUSTRIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SONAE INDUSTRIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
SONAECOM	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SUMOL+COMPAL	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			
SUMOL+COMPAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SUMOL+COMPAL	Shares where the Member and/or its Group holds more than (A) (*)			
TEIXEIRA DUARTE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
VISTA ALEGRE ATLANTIS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
VISTA ALEGRE ATLANTIS	Shares where the Member and/or its Group holds more than (A) (*)			
ZON MULTIMEDIA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ZON MULTIMEDIA	Shares where the Member and/or its Group holds more than (A) (*)			
ZON MULTIMEDIA	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			
ZON MULTIMEDIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
Caja Madrid				
AFIRMA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	feb 09		
BOLSAS Y MERCADOS ESPAÑOLES	Shares where the Member and/or its Group holds more than (A) (*)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
CAJA MADRID	Shares of companies part of the Member Group			Caja Madrid (100%)
GOWEX	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	mar 10		
GOWEX	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)	mar 10		
GRUPO ELEKTRA (LATIBEX S.E.)	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GRUPO IUSACELL (LATIBEX S.E.)	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GRUPO SOS	Shares where the Member and/or its Group holds more than (A) (*)			
IBERIA	Shares where the Member and/or its Group holds more than (A) (*)			
INDRA SISTEMAS	Shares where the Member and/or its Group holds more than (A) (*)			
JAZZTEL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	giu 09		
MAPFRE	Shares where the Member and/or its Group holds more than (A) (*)			
MECALUX	Shares where the Member and/or its Group holds more than (A) (*)	lug 08		
METROVACESA	Shares where the Member and/or its Group holds more than (A) (*)	feb 09		
NH HOTELES	Shares where the Member and/or its Group holds more than (A) (*)			
NH HOTELES	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	lug 09		
REALIA	Shares where the Member and/or its Group holds more than (A) (*)			
TV AZTECA (LATIBEX S.E.)	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
Danske Markets Equities				
AMAGERBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
AMAGERBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
AP MØLLER MÆRSK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Joint-Lead Manager	
AP MØLLER MÆRSK	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	set 09	Financial Advisor of the Company	
AP MØLLER MÆRSK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	dic 09	Lead Manager	
BANK OF AMERICA CORPORATION	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Co-Lead Manager	
BARCLAYS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
BARCLAYS BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Joint-Lead Manager	
BARCLAYS BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
BARCLAYS BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ago 09	Co-Lead Manager	
BERGENSHALVØENS KOMMUNALE KRAFTSELSKAP	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
BN BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
BNP PARIBAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Co-Lead Manager	
BNP PARIBAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	dic 09	Co-Lead Manager	
BNP PARIBAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
BNP PARIBAS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	apr 10	Co-Lead Manager	
BNP PARIBAS HOME LOAN COVERED BONDS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
BNP PARIPAS HOME LOAN COVERED BOND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Co-Lead Manager	
CHR. HANSEN HOLDING	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription	giu 10	Joint-Lead Manager	
CISION	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	feb 10	Joint-Lead Manager	
CITY OF HELSINKI	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
CM-CIC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Co-Lead Manager	
CM-CIC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Co-Lead Manager	
CM-CIC COVERED BOND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
COMPOSITE SCANDINAVIA	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	mar 10	Financial Advisor of the Company	
DANSKE ANDELSKASSER	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	giu 10	Lead Manager	
DANSKE BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
DANTHERM FILTRATION	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	mar 10	Financial Advisor of the Company	
DEUTSCHE BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Co-Lead Manager	
DFDS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	dic 09	Joint-Lead Manager	
DONG ENERGY	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
DSB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Lead Manager	
DSB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
DSB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
EIB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
EIB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 10	Lead Manager	
EIENDOMSKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
EIK BANKI	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
EMPORIKI GROUP FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Co-Lead Manager	
EMPORIKI GROUP FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
EMPORIKI GROUP FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
EMPORIKI GROUP FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	dic 09	Co-Lead Manager	
ESB FINANCE LIMITED	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
EUROPEAN BANK FOR RECONSTRUCTION AND DEVELOPMENT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
FIH	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	dic 09	Lead Manager	
FIH	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 10	Lead Manager	
FINGRID	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
FINNVERA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
GCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Co-Lead Manager	
GENERAL ELECTRIC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
GJENSIDIGE BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
GOLDMAN SACHS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
HEIDELBERG CEMENT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Co-Lead Manager	
HELGELAND BOLIGKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
HELGELAND BOLIGKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
HSBC BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Co-Lead Manager	
HSBC FRANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
HSBC HOLDING	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
IBRD	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Co-Lead Manager	
IKEA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	giu 10	Lead Manager	
ING BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
ING BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Co-Lead Manager	
ING BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Co-Lead Manager	
IRISH LIFE AND PERMANENT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	
IRISH LIFE AND PERMANENT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
JEUDAN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	mar 10	Lead Manager	
JUPITER GROUP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	dic 09	Financial Advisor of the Company	
KFSK	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	feb 10	Financial Advisor of the Company	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 10	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	dic 09	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Joint-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	
KFW	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
KINGDOM OF SWEDEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Co-Lead Manager	
KOMMUNALBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Co-Lead Manager	
KOMMUNALBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Co-Lead Manager	
KOMMUNALBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
KOMMUNALBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
KOMMUNEINVEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
KOMMUNEKREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
KOMMUNINVEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Lead Manager	
KOMMUNINVEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
KREDITBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
KREDITTFORENINGEN FOR SPAREBANKER	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	
KREDITTFORENINGEN FOR SPAREBANKER	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
LANDKREDITT BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
LBI INTERNATIONAL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	feb 10	Financial Advisor of the Company	
LD EQUITY 1	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	feb 10	Financial Advisor of the Company	
LLOYDS TSB BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
LLOYDS TSB BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Co-Lead Manager	
LLOYDS TSB BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
LANSFORSÅKRINGER HYPOTEK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
MORSØ SPAREKASSE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	lug 10	Lead Manager	
MORTGAGE SOCIETY OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	ott 09	Lead Manager	
MORTGAGE SOCIETY OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
MORTGAGE SOCIETY OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
MORTGAGE SOCIETY OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	dic 09	Lead Manager	
MUNICIPALITY FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
MUNICIPALITY FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
NESTE OIL	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
NEUROSEARCH	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	nov 09	Joint-Lead Manager	
NEUROSEARCH	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	ott 09	Joint-Lead Manager	
NORDEA BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
NORDIC INVESTMENT BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Co-Lead Manager	
NORVESTOR EQUITY	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	lug 10	Financial Advisor of the Company	
NV BANK NEDERLANDSE GEMEENTEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
NYKREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	mar 10	Financial Advisor of the Company	
ODENSE STEEL SHIPYARD	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	set 09	Financial Advisor of the Company	
OUTOKUMPU	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
RABOBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
RABOBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
RABOBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Co-Lead Manager	
RABOBANK NEDERLANDS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
RAUTARUUKKI	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
REPUBLIC OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
REPUBLIC OF FINLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
RETTIG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	giu 10	Lead Manager	
ROYAL BANK OF SCOTLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
ROYAL UNIBREW	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	nov 09	Financial Advisor of the Company	
SAS GROUP	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue	feb 10	Co-Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ott 09	Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
SBAB	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
SIXTH SWEDISH NATIONAL PENSION FUND	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	gen 10	Financial Advisor of the Company	
SOCIETE GENERALE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
SOCIETE GENERALE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Co-Lead Manager	
SOCIETE GENERALE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ago 09	Co-Lead Manager	
SOCIETE GENERALE SCF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
SOCIETE GENERALE SCF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Co-Lead Manager	
SOCIETE GENERALE SCF	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	ago 09	Co-Lead Manager	
SPAR NORD BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Lead Manager	
SPAR NORD BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Lead Manager	
SPAREBANK 1 BOLIGKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
SPAREBANK 1 NORD-NORGE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
SPAREBANK 1 SMN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
SPAREBANK 1 SØRE SUNNMØRE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
SPAREBANKEN JEVNAKER LUNNER	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Co-Lead Manager	
SPAREBANKEN PLUSS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
SPAREBANKEN SOGN OG FJORDANE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
SPAREBANKEN VEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
SPAREBANKEN VEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
SPAREBANKEN VEST BOLIGKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	feb 10	Lead Manager	
SPAREBANKEN ØST	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
SPAREKASSEN FAABORG	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
SPAREKASSEN HIMMERLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
SPAREKASSEN KRØNJYLLAND	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	giu 10	Lead Manager	
SPARNORD BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 10	Lead Manager	



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
SPONDA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
STADSHYPOTEK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Co-Lead Manager	
STADSHYPOTEK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
SVENSK EXPORTKREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Co-Lead Manager	
SWEDBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
SWEDISH EXPORT CREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
SYDBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	set 09	Joint-Lead Manager	
TEOLLISUUDEN VOIMA	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed	set 09	Lead Manager	
TERRA BOLIGKREDITT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
TOPDANMARK FORSIKRING	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
TRITON PARTNERS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	feb 10	Exclusive Financial Advisor	
TØNDER BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Lead Manager	
UBS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	nov 09	Co-Lead Manager	
UBS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Co-Lead Manager	
UBS	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	apr 10	Lead Manager	
UNICREDIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	lug 09	Co-Lead Manager	
UNION ENGINEERING	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	apr 10	Financial Advisor of the Company	
VALEDO PARTNERS	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	lug 10	Financial Advisor of the Company	
VALHALLA 1	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
VESTFYNS BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
VESTJYSK BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
VESTJYSK BANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mag 10	Lead Manager	
VITESSE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	feb 10	Financial Advisor of the Company	
VOLVO	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
VOXSON CARL-L ERIKSSON	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement	ott 09	Financial Advisor of the Company	
YIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	mar 10	Lead Manager	
ÅLANDSBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	set 09	Lead Manager	
ÅLANDSBANKEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	gen 10	Lead Manager	
ÅRHUS LOKALBANK	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed	giu 10	Lead Manager	
IBG				
ALPHA BANK S.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
ALPHA BANK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
ATE STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
BANK OF CYPRUS PUBLIC COMPANY LTD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
BANK OF CYPRUS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
COCA COLA E.E.E. S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
COCA COLA E.E.E. STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
EFG EUROBANK ERGASIAS S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
EFG EUROBANK ERGASIAS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
ELLAKTOR S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
ELLINIKI TECNODOMIKI TEB STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
GEK TERNA HOLDING, REAL ESTATE, CONSTRUCTION S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
GEK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
GREEK ORGANIZATION OF FOOTBALL PROGNOSTICS S.A. (OPAP)	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
GREEK POSTAL BANK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC EXCHANGES S.A. (EXAE)	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC EXCHANGES STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC PETROLEUM STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC TELECOM.ORGANISATION S.A	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC TELECOM.ORGANISATION STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
HELLENIC TELECOM.ORGANISATION STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
INTRACOM STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
INTRALOT S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
INTRALOT STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
MARFIN EGNATIA BANK	Shares of companies part of the Member Group	giu 10	Listing Partner	
MARRFIN POPULAR BANK	Shares of companies part of the Member Group	giu 10	Listing Partner	
METKA STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
MOTOR OIL STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
MYTILINEOS HOLDINGS STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
NATIONAL BANK OF GREECE S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
NATIONAL BANK OF GREECE STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
NATIONAL BANK OF GREECE STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
OPAP STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
OPAP STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
PIRAEUS BANK S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
PIRAEUS BANK STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
PUBLIC POWER CORP. STOCK OPTION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
PUBLIC POWER CORP.STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
PUBLIC POWER CORPORATION S.A.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
SIDENOR STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
TITAN CEMENT COMPANY STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
VIOHALCO STOCK FUTURE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)	giu 10		
Ncb Stockbroker				
CLS HOLDINGS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
DONEGAL CREAMERIES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
GLOBO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
GREYSTAR RESOURCES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
INDEPENDENT NEWS & MEDIA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
IRISH CONTINENTAL GROUP	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
NTR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
VERSATILE SYSTEMS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
WEST CHINA CEMENT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
ZAMANO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			Stockbroker/advisor
SNS Securities				
ACCELL GROUP	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
AMSTERDAM COMMODITIES	The Member participated in consortium for underwriting and/or placement (B) (**) - Convertible Bonds		Lead Manager	
AMSTERDAM COMMODITIES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
AMT HOLDING	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BATENBURG BEHEER	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BESI SEMICONDUCTOR	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
CROWN VAN GELDER	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
CTAC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DOCDATA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DOCKWISE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DPA FLEX GROUP	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
FORNIX BIOSCIENCES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
GAMMA HOLDING	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
HES BEHEER	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
HOLLAND COLOURS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ICT AUTOMATISERING	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
INNOCONCEPTS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
KENDRION	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
KONINKLIJKE BRILL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
LBI INTERNATIONAL AB	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
NEDAP	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
NEWAYS ELECTRONICS INTERNATIONAL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
PHARMING GROUP	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
PUNCH GRAPHIX	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ROOD MICROTEC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
STERN GROEP	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
TMC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
VAN LANSCHOT	Shares where the Member and/or its Group holds more than (A) (*)			
equinet				
43C	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
AAP IMPLANTATE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
AD PEPPER MEDIA	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ADVA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADVANCED VISION	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ADVANTAGE OIL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADVANTEST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ADVANTEST PUBLIC	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
AGROTON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AIXTRON	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ALLIANCE RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AMEDISYS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANACONDA GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANATOLIA MINLS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ANHEUSER BUSCH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
APPLIED SIGNAL TECH.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ARC EXPLORATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ARGON ST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ARXES NETWORK COMMUNICATIONS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
ASHBURTON MINRLS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AURAGENIX	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AUSTRAL AFRICA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
AZURE MINERALS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAINS MER MONACO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAVARIA INDUSTRIEKAPITAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BAYWA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BB BIOTECH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BEARLAKE GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENDIGO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENDIGO AND ADELAIDE BANK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENITEC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BENITEC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BERENTZEN GRUPPE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BETA SYSTEMS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BIO-GATE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOGATE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BIOPETROL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
BIOPETROL	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
BIOPETROL	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BIOPETROL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOTA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BIOTEST	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
BIOTEST	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
BIOTEST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BITTERROOT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BLUE NILE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRAVADA GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRENNTAG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BRENNTAG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BULLION RIVER GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
BUSINESS MEDIA CHINA	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CARPATHIAN GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CATALIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CB RETAIL INV	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CB RETAIL INV	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CBH RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CDN ZINC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CENIT	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
CENT EURO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CEOTRONICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CHALLENGER DIVERSIFIED	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
CLOUD PEAK ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COEUR D'ALENE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COGNIZANT TECH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COLEXON ENERGY	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
COMPETITIVE TECH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CONCERN TRACTOR PLANTS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
CONNECTEAST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CONTROLINVESTE INTERNATIONAL FINANCE	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Listed			
CONVISUAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CORPORATE EQUITY PARTNERS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CORVETTE RES.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
COTT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CROWFLIGHT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
CS GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
D.LOGISTICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
D.LOGISTICS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DALDRUP & SÖHNE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
DALDRUP & SÖHNE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
DALDRUP & SÖHNE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DALDRUP & SÖHNE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DALDRUP & SÖHNE	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
DE GREY MINING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEMAG CRANES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DENISON MINES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEUTSCHE IMMOBILIEN HOLDING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DEUTSCHE STEINZEUG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DF DEUTSCHE FORFAIT	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
DF DEUTSCHE FORFAIT	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DF DEUTSCHE FORFAIT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DNICK	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
DNICK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DRDGOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
DRI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EADS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EASTMAIN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ECHOGLOBAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EL ALTO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EOP BIODIESEL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EOP BIODIESEL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
EPIGENOMICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EURO GOLDFIELDS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
EUROMICRON	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
EXPRESS INC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FIRESTONE ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FIRST AUST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FLINDERS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FREENET.DE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FROGSTER INTERACTIVE PICTURES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
FUNKWERK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GABRIEL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GBK BETEILIGUNGEN	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
GBK BETEILIGUNGEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GENEART	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
GESCO	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
GESCO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
GFT	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
GOLDBANK MINING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GOLDEN GOLIATH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GOLDEN PHOENIX MINERALS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
GOYELLOW	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GREAT BASIN GLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
GULF ISLAND	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HAMPTON ROADS BANKSHARES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HD HYDROGEN DYNAMICS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
HIGHLANDS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HKN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
HYDROGEN DYNAMICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
I:FAO	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
IBS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IBS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
IDENTIVE GROUP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ING GROEP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTEGRALIS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
INTEGRALIS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTER PARFUMS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
INTERSEROH	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
INTICA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ISRA VISION SYSTEMS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
ISRA VISION SYSTEMS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ITELLIGENCE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
ITRNONICS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
IVU TRAFFIC TECHNOLOGIES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
JETTER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
JOYOU	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KAR AUCTION SERVICES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KIMBER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KIRKLAND LAKE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KNOLOGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KOFLER ENERGIES POWER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KTG AGRAR	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
KTG AGRAR	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
KTG AGRAR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
KTG AGRAR	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
KTG AGRAR	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
L'EAU DU CIEL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
L'EAU DU CIEL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
LEIFHEIT	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
LIONS GATE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LIVING-E	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
LOEWE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LOGWIN	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
LYCOS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
LYNAS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAANSHAN IRON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MACHINERY & INDUSTRIAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAG SILVER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MASS FINANCIAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MATRIX SERVICE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MATTHEWS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAX AUTOMATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MAX AUTOMATION	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
MBB INDUSTRIES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MCB AGRICOLE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
MCB AGRICOLE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MCC GLOBAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MDN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MEDNAX	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MEYER BURGER	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
MHP SA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MINARA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MINING PROJECTS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MITSUI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOBOTIX	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOLOGEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MOMENTA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MRIYA GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MTU AERO ENGINES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MUEHLHAN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
MYRIA AGRO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NANOFOCUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NANOGATE	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
NATL OILWELL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEMETSCHKE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NESTLE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NEXUS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
NORD STAR PHARMASHARE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORDSTAR PHARMASHARE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NORTHERN DYNAST	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NORTHERN DYNAST	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NOVAGOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
NOVAVISIONS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
NOVAVISIONS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OHB TECHNOLOGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OLYMPUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OPTIMUM COAL HOLDINGS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
OROYA MINING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PAC RIDGE EXPL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PALADIN RSC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PAN AUST RSC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PANERA BREAD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PANORAMIC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PCC	The Member participated in consortium for underwriting and/or placement (B) (**) - Bonds - Not Listed			
PETMED EXPRESS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PLIM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PM PAN MINERALS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PM PAN MINERALS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
POWERLINK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PRO SERV CAPITAL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
PRO SERV CAPITAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PROVIDENCE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
PSI	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
R. STAHL	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
REDEELSEV. SP ADRS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RENEWAGY	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
RICHLY FIELD CHINA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROBECO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROCHE HOLDING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROCKWELL DIAMONDS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ROLINCO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
RUSHYDRO	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SARACEN MINERAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SCHALTBAU	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SCHULER	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
SCORPIO MINING	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SEVEN PRINCIPLES	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SEVEN PRINCIPLES	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SEVEN PRINCIPLES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
SHF COMMUNICATIONS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SHF COMMUNICATIONS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SHILOH INDS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIGMA PHARMACEUTICAL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SIHAYO GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SILICON SENSOR	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
SILVRCRST MINES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SINGULUS TECHNOLOGIES	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
SINTAL AGRICULTURE PUBLIC	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SINTAL AGRICULTURE PUBLIC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SMT SCHARF	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SMT SCHARF	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
SNP SCHNEIDER - NEUREITHER & PARTNER	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SOLAR FABRIK	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SOLAR FABRIK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SOLVAY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPARTECH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPARTON	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SPOTLESS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STARPHARMA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STO	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
STRAYER EDUCAT	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
STRIKE OIL	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUESS MICROTEC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SUNRIDGE GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUNWAYS	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
SUNWAYS	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
SUPERIOR PLUS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SUZLON ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
SYSTAIC	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
SÜSS MICROTEC	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
TALECRIS BIOTHERAP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TANAMI GOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TEN NETWORK	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TFS CORP	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
THE MIDDLEBY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TIGER RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TINKA RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TITANIUM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TKS REAL ESTATE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TKS REAL ESTATE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TMM REAL ESTATE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TMM REAL ESTATE	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TOGNUM	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TRANSPACIFIC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TUMI RSCS	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TVI PACIFIC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TWINTEC	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
TWINTEC	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			
TWINTEC	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
TWINTEC	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - IPO/Public Offers for Selling and/or Subscription			
UMPQUA	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UNITED ENERGY	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
UNITED ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
URBAN OUTFITTER	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
UTIMACO SAFEWARE	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VANGOLD	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VBH	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
VBH	Shares where the Member is "Specialist" (Liquidity Provider or Market-maker with research obligation) (**)			



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

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Company	Conflict Description	Operation Date	ESN Partner Role	Conflict Details
VOLKSWAGEN	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VOYAGER RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VTG	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
VTION WIRELESS TECH	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
WATERLAND	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			
WHISTLER GOLD EXPLORATION	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
X CAL RESOURCES	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ZAPF CREATION	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Rights issue			
ZAPF CREATION	The Member participated in consortium for underwriting and/or placement (B) (**) - Shares - Private Placement			
ZBB ENERGY	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ZUER. FINANZKONT.	Shares where the Member is "Liquidity Provider" or "Market-maker" (**)			
ZÜRICH FINANZKONTOR	Any other known Investment Banking Service provided (B) (i.e.: advisory, etc.) (**)			