

Top 5 Broker Reporting according to MIFID II



H&A
GLOBAL INVESTMENT
MANAGEMENT

Fiscal Year 2021

Team FLG/HAGIM-Fonds

Asset class						
Bonds						
Indication of whether an average of <1 trade per business day was executed in the previous year		no				
Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders	
Hauck & Aufhäuser Privatbankiers AG	92,14%	92,14%	92,14%	0%	0%	
Bayerische Landesbank	7,58%	7,58%	7,58%	0%	0%	
Barclays	0,01%	0,01%	0,01%	0%	0%	
Societe Generale	0,01%	0,01%	0,01%	0%	0%	
Deutsche Bank	0,01%	0,01%	0,01%	0%	0%	

Asset class						
Equities						
Indication of whether an average of <1 trade per business day was executed in the previous year		no				
Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders	
Hauck & Aufhäuser Privatbankiers AG	98,35%	98,35%	98,35%	0%	0%	
Crag	0,53%	0,53%	0,53%	0%	0%	
BNP	0,52%	0,52%	0,52%	0%	0%	
Deutsche Bank	0,36%	0,36%	0,36%	0%	0%	
Goldman Sachs	0,24%	0,24%	0,24%	0%	0%	

Asset class						
Fonds						
Indication of whether an average of <1 trade per business day was executed in the previous year		no				
Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders	
Hauck & Aufhäuser Privatbankiers AG	99,02%	99,02%	99,02%	0%	0%	
Landesbank Hessen-Thüringen	0,98%	0,98%	0,98%	0%	0%	

Asset class						
ETD						
Indication of whether an average of <1 trade per business day was executed in the previous year		no				
Most important brokers starting from number of trades (in descending order according number of trades)	Share of number of trades as percentage of entire trades in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders	
Hauck & Aufhäuser Privatbankiers AG	81,75%	81,75%	81,75%	0%	0%	
Landesbank Hessen-Thüringen	10,25%	10,25%	10,25%	0%	0%	
Unicredit Bank AG	8,00%	8,00%	8,00%	0%	0%	

Asset class						
Forex						
Indication of whether an average of <1 trade per business day was executed in the previous year		no				
Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders	
Deka Bank Deutsche Girozentrale	91,50%	91,50%	91,50%	0%	0%	
Landesbank Hessen-Thüringen	6,76%	6,76%	6,76%	0%	0%	
Hauck & Aufhäuser Privatbankiers AG	1,74%	1,74%	1,74%	0%	0%	

Teams Wealth Management Multi Assets & Wealth Management Special Mandates

Asset class all asset classes

Indication of whether an average of <1 trade per business day was executed in the previous year no

Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Hauck & Aufhäuser Privatbankiers AG	100%	100%	100%	0%	0%

Overview of the orders of the external advisory mandates of the Wealth Management Multi Assets team

The orders of these advisory mandates were transferred 100% to the respective custodian banks.

Asset class all asset classes

Indication of whether an average of <1 trade per business day was executed in the previous year no

Most important brokers starting from trading volume (in descending order according to trading volume)	Share of trading volume as percentage of entire volume in this category	Proportion of executed orders as a percentage of all orders in this category	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
<i>Mandate with Julius Bär Germany</i>	100%	100%	100%	0%	0%
<i>Mandate with UBS Germany</i>	100%	100%	100%	0%	0%
<i>Mandate with UBS Switzerland</i>	100%	100%	100%	0%	0%
<i>Mandate with Banque J. Safra Sarasin, Switzerland</i>	100%	100%	100%	0%	0%