

Top 5 Broker Reporting according to MIFID II

Fiscal Year 2022



H&A
GLOBAL INVESTMENT
MANAGEMENT

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 Lampe Privatbank AG | 99,84% | 99,84% | 99,84% | 0% | 0% |
| Bayerische Landesbank | 0,12% | 0,12% | 0,12% | 0% | 0% |
| JP Morgan Sec PLC | 0,02% | 0,02% | 0,02% | 0% | 0% |
| BNP | 0,01% | 0,01% | 0,01% | 0% | 0% |
| Landesbank Baden-Württemberg | 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 Lampe Privatbank AG | 89,34% | 98,35% | 98,35% | 0% | 0% |
| DekaBank Deutsche Girozentrale | 5,78% | 0,53% | 0,53% | 0% | 0% |
| Bayerische Landesbank | 4,86% | 0,52% | 0,52% | 0% | 0% |
| Bankhaus Metzler & Co | 0,02% | 0,36% | 0,36% | 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 Lampe Privatbank AG | 99,83% | 99,83% | 99,83% | 0% | 0% |
| Landesbank Baden-Württemberg | 0,09% | 0,09% | 0,09% | 0% | 0% |
| Landesbank Hessen-Thüringen | 0,08% | 0,08% | 0,08% | 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 Lampe Privatbank AG | 75,47% | 75,47% | 75,47% | 0% | 0% |
| Unicredit Bank AG | 17,78% | 17,78% | 17,78% | 0% | 0% |
| Landesbank Hessen-Thüringen | 6,36% | 6,36% | 6,36% | 0% | 0% |
| Bayerische Landesbank | 0,15% | 0,15% | 0,15% | 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 | 94,66% | 94,66% | 94,66% | 0% | 0% |
| Landesbank Hessen-Thüringen | 3,44% | 3,44% | 3,44% | 0% | 0% |
| Landesbank Baden-Württemberg | 1,65% | 1,65% | 1,65% | 0% | 0% |
| Hauck & Aufhäuser Lampe Privatbank AG | 0,25% | 0,25% | 0,25% | 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 Lampe Privatbank 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 Banque J. Safra Sarasin, Switzerland</i> | 100% | 100% | 100% | 0% | 0% |