

THE TOP FIVE EXECUTION VENUES PER CLASS OF FINANCIAL INSTRUMENT (TOP-5 REPORT)

25.01.2021

Important information

The information in this document covers the period from 1 Jan until 31 Dec 2020. They are related to the reporting date and do not allow conclusions to be drawn about subsequent periods.

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Further information on the implementation principles of the ICM Investment Bank AG can be found on the homepage (https://i-c-m.de/Implementation_principles).

Class of the financial instrument	Equities Shared and Depository Receipts	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	8,090%	25,630%
Bethmann Bank	11,480%	2,560%
BinckBank	0,630%	3,590%
DAB Bank AG	76,390%	63,190%
St. Galler	0,750%	0,280%
UBS Bank	2,310%	2,600%
V-Bank	0,340%	2,150%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Debt instruments	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,000%	0,000%
Bethmann Bank	0,000%	0,000%
BinckBank	0,000%	0,000%
DAB Bank AG	100,000%	100,000%
St. Galler	0,000%	0,000%
UBS Bank	0,000%	0,000%
V-Bank	0,000%	0,000%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Derivatives Interest rate /Credit /Currency derivatives	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,000%	0,000%
Bethmann Bank	0,000%	0,000%
BinckBank	0,000%	0,000%
DAB Bank AG	100,000%	100,000%
St. Galler	0,000%	0,000%
UBS Bank	0,000%	0,000%
V-Bank	0,000%	0,000%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Structured finance instruments / Certificates	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,000%	0,000%
Bethmann Bank	2,030%	6,580%
BinckBank	0,710%	2,630%
DAB Bank AG	95,100%	76,320%
St. Galler	0,370%	2,630%
UBS Bank	1,580%	6,580%
V-Bank	0,210%	5,260%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Equity derivatives	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,080%	0,530%
Bethmann Bank	8,500%	6,300%
BinckBank	0,000%	0,000%
DAB Bank AG	91,210%	92,940%
St. Galler	0,000%	0,000%
UBS Bank	0,000%	0,000%
V-Bank	0,210%	0,240%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Commodity derivatives	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,000%	0,000%
Bethmann Bank	0,000%	0,000%
BinckBank	0,000%	0,000%
DAB Bank AG	0,000%	0,000%
St. Galler	0,000%	0,000%
UBS Bank	0,000%	0,000%
V-Bank	0,000%	0,000%
Allianz Bank	0,000%	0,000%

Class of the financial instrument	Exchange traded products	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	1,720%	2,9700%
Bethmann Bank	1,990%	4,4800%
BinckBank	2,730%	5,7500%
DAB Bank AG	77,630%	77,0000%
St. Galler	0,310%	0,2200%
UBS Bank	0,130%	0,2900%
V-Bank	15,460%	8,1000%
Allianz Bank	0,030%	1,1900%

Class of the financial instrument	Other instruments	
Notification if < 1 average trade per business day in the previous year was carried out	Yes	
Top five execution venues ranked in terms of trading volumes (in descending order of trade volume)	Proportion of trade volume executed as a percentage of total volume in that class	Proportion of orders executed as percentage of the total in that class category
Baader Bank	0,87%	10,96%
Bethmann Bank	0,00%	0,26%
BinckBank	0,00%	0,00%
DAB Bank AG	98,22%	87,98%
St. Galler	0,00%	0,00%
UBS Bank	0,90%	0,66%
V-Bank	0,02%	0,13%
Allianz Bank	0,00%	0,00%

All custodian banks have ensured a sufficient quality of execution in the calendar year 2020.