



## **Main trading venues and brokers selection**

**CaixaBank, S.A.**



**ROLLS Y RESPONSIBILITIES**

Function	Responsible
<i>Submission</i>	Global Risk Committee
<i>Validation</i>	Global Risk Committee
<i>Creation</i>	Dirección Financiera
<i>Execution</i>	Dirección Financiera
<i>Control</i>	Compliance
<i>Initial approval and following updates</i>	Managers: Global Risk Committee Review and comfort to Boarding Directors approval process: Comisión de Riesgos Final approval: Boarding of Directors
<i>Final approval</i>	Boarding of Directors
<i>Updates</i>	Dirección Financiera
<i>Storage</i>	Dirección Financiera
<i>Distribution</i>	Dirección Financiera

**ROADMAP.**

Version	Approval	Details
2018	23/10/2017	Initial version approved by Boarding Directors.
2019	25/10/2018	Annual update approved by Boarding Directors.
2020	30/01/2020	Annual update approved by Boarding Directors.
2021	18/02/2021	Annual update approved by Boarding Directors.

## MAIN TRADING VENUES AND BROKERS SELECTION

### EQUITY

Trading venues
Bolsas y Mercados Españoles – BME (XBAR, MABX, XLAT, XVAL, XBIL, XMAD, ...)
Euronext Amsterdam (XAMS, ALXA, TNLA, ...)
Euronext Brussels (XBRU, ALXB, ENXB, MLXB, TNLB, VPXB, XBRD, ...)
Euronext Lisbon (XLIS, ALXL, ENXL, ...)
Euronext Paris (XPAR, ALXP, ENLX, ...)
Wiener Borse (WBAH, WBGF, WBDM, ...)
Deutsche Borse (XETR, XFRA, ...)
Borsa Italiana (MTAA, ETFP, XAIM, MTAH, ...)
London Stock Exchange (XLON, ...)
Euronext Dublin (XMSM, XESM, ...)
Nasdaq OMX (Helsinki, Stockholm y Copenhagen) (NURO, XCSE, XHEL, XSTO)
First North (FNDK, FNFI, FNSE, ...)
Oslo Bors (XOSL, XOAS, XOSC, ...)
SIX Swiss Exchange (XSWX, XVTX, ...)
Athens Stock Exchange (XATH, ENAX, ...)
ASX All Markets (Australian Securities Exchange. XASX, ...)
Canadá (XTSE, NEOE, PURE, XATS, XCX2, LYNX, OMGA, XTNX, ...)
Osaka Securities Exchange (XOSE, ...)
Tokyo Stock Exchange (XTKS, ...)
Jasdaq (XJAS, ...)
Singapore Exchange (XSES, ...)
New York Stock Exchange NYSE (XNYS, XCIS, ...)
Nasdaq (XNAS, XNMS, ...)
EEUU (AMEX, ARCX, EDGA, EDGX, IEXG, XASE, XBOS, XCHI, XPSX, ...)
OTC BB EEUU (XOTC, ...)
Pink Sheet EEUU (PINX, ...)
Hong Kong Exchange and Clearing (XHKG, ...)
Australian Securities Exchange (XASX, ...)
Turquoise (TRQX, TRQM, ...)
Cboe (BATE, CHYI, CEUX, LISX, BATD, BATF, BATY, BATP, CHID, CHIO, CHIX, BOTC, ...)
Aquis (AQXE, ...)
Equiduct (EQTA, EQTB, ...)

UBS MTF (XUBS, ...)  
 Smartpool (XSMP, ...)  
 Sigma X (SGMX, ...)  
 Citadel (CCEU, ...)  
 Morgan Stanley SI (MSSI, MSTX, MESI, MSPL, ...)  
 Tower Research Capital Europe (TRSI, ...)

#### Brokers

Morgan Stanley & CO PLC / Morgan Stanley Bank International Limited  
 Goldman Sachs International  
 Citigroup  
 UBS  
 GVC Gaesco Beva SV, S.A.

## DERIVATIVES & FX

#### Trading venues

MEFF Exchange (Mercado Español de Futuros Financieros)  
 EUREX Deutschland  
 New York Mercantile Exchange  
 Chicago Mercantile Exchange  
 Chicago Board of Trade  
 Commodities Exchange Center – COMEX  
 Bloomberg Platform  
 Reuters Transaction Services  
 Tradeweb  
 360T  
 Xetra (XETB, XTED)  
 Eurex (XEUB, XEUP)  
 Flex Trade  
 EBS Brokertec  
 ICAP-EBS Service Company  
 FXALL  
 GAIN Capital

<b>Brokers</b>
Santander ETDS (Exchange Trade Derivatives)
Ahorro Corporación
Altura Markets
Barclays Capital
BGC
Capital Markets
CIMD
GFI Brokers
ICAP Europe Limited
Key Capital Partners
RP Martin Brokers Group
Tullet Prebon
Tradition
Carl Kleim
JB Drax Honore
Makor Securities

## FIXED INCOME

<b>Trading venues</b>
Sistema Español de Negociación de Activos Financieros (SENAF)
Asociación de Intermediarios de Activos Financieros (AIAF) a través del Sistema Electrónico de Negociación de Deuda (SEND)
Mercado Electrónico de Renta Fija (MERF)
Mercado Alternativo de Renta Fija (MARF).
Bloomberg Platform
MTS Spain S.A.
EuroMTS Linkers Market
BondVision
Reuters Transaction Services
Tradeweb
Xetra (XETB, XTED)
Eurex (XEUB, XEUP)
Broker Tec

Euronext  
Market Axess

**Brokers**

Ahorro Corporación  
All Trading  
Altura Markets  
Barclays Capital  
BGC  
Capital Markets  
Carl Kliem  
CIMD  
Finacor  
GFI Brokers  
ICAP Europe Limited  
Tullet  
Tradition

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