

## Order Execution Policy

### Annex 1

#### 1. LIST OF EXECUTION VENUES AND PARTNERS BY INSTRUMENT TYPES

1.1. When executing Client Orders in derivatives- financial contracts for differences, binary options, money market instruments and Over-The-Counter (OTC) (agreement between two parties on FI traded outside regulated market) the Company's contractor and counterparty shall be **Dukascope Bank SA** (Switzerland).

1.2. When executing Client Orders in stocks, bonds, promissory notes, investment units or investment fund certificates and other FI that might be classified as derivatives - AS Rietumu Banka and its counterparties are the Company's counterparties. The counterparties of AS Rietumu Banka are listed below:

- 1.2.1. Alfa Bank (Moscow) (Russia);
- 1.2.2. Commerzbank AG (Germany);
- 1.2.3. Deutsche Bank (London) (Great Britain);
- 1.2.4. Knight Capital Europe (Great Britain)
- 1.2.5. Mizuho international (Great Britain);
- 1.2.6. Prometeo Investment Services (Switzerland);
- 1.2.7. Royal Bank of Scotland (Great Britain);
- 1.2.8. TD Investments Limited (Cyprus);
- 1.2.9. BrokerCreditService (Cyprus) Limited (Cyprus);
- 1.2.10. JPMorgan Securities Ltd (Great Britain);
- 1.2.11. UBS AG (Switzerland);
- 1.2.12. Bridport & CIE (Switzerland);
- 1.2.13. Pinnacle Capital Markets (USA);
- 1.2.14. ABN AMRO CLEARING CHICAGO LLC (USA).

1.3. The list of Order Execution venues is as follows:

- 1.3.1. Nasdaq OMX Riga (Latvia);
- 1.3.2. SWFX Swiss Forex Marketetplace – transactions with intermediation of Dukascope Bank SA;
- 1.3.3. With the intermediation of AS Rietumu Banka and its brokers the following Order Execution venues are available:
  - 1.3.3.a.1. Toronto Stock Exchange (Canada);
  - 1.3.3.a.2. New York Stock Exchange (USA);
  - 1.3.3.a.3. NASDAQ (USA);
  - 1.3.3.a.4. American Stock Exchange (AMEX) (USA);
  - 1.3.3.a.5. Archipelago Exchange (USA);



- 1.3.3.a.6. OTC Bulletin Board (USA);
- 1.3.3.a.7. Chicago Board of Options (USA);
- 1.3.3.a.8. Chicago Mercantile Exchange (CME);
- 1.3.3.a.9. Chicago Board of Trade (CBOT) (USA);
- 1.3.3.a.10. New York Mercantile Exchange (NYMEX) (USA) un Commodity Exchange (COMEX) USA;
- 1.3.3.a.11. Philadelphia Stock Exchange (USA);
- 1.3.3.a.12. Pacific Exchange (USA);
- 1.3.3.a.13. Boston Stock Exchange (USA);
- 1.3.3.a.14. Cincinnati Stock Exchange (USA);
- 1.3.3.a.15. US OTC MARKETS (OOTC& OTCBB) (USA);
- 1.3.3.a.16. Wiener Borse (Austria);
- 1.3.3.a.17. Euronext Brussels (Belgium);
- 1.3.3.a.18. Nasdaq OMX Copenhagen (Denmark);
- 1.3.3.a.19. Nasdaq OMX Finland (Finland);
- 1.3.3.a.20. Euronext Paris (CAC 40) (France);
- 1.3.3.a.21. Frankfurt Stock Exchange (Germany);
- 1.3.3.a.22. Athens Stock Exchange (General) (Greece);
- 1.3.3.a.23. Irish Stock Exchange (ISE) (Ireland);
- 1.3.3.a.24. Borsa Italiana (Italy);
- 1.3.3.a.25. Luxembourg Stock Exchange (BdL) (Luxembourg);
- 1.3.3.a.26. Euronext Amsterdam (AEX index) (Netherlands);
- 1.3.3.a.27. Oslo Stock Exchange (Norway);
- 1.3.3.a.28. RTS Stock Exchange (Russia);
- 1.3.3.a.29. NASDAQ OMX Stockholm (Sweden);
- 1.3.3.a.30. SWX Swiss Exchange (Switzerland);
- 1.3.3.a.31. London Stock Exchange (UK Main Market; International Main Market; AIM; Professional Securities Market; Specialist Fund Market (SFM)) (Great Britain);
- 1.3.3.a.32. Australian Securities Exchange (ASX) (Australia);
- 1.3.3.a.33. Hong Kong Stock Exchange (China);
- 1.3.3.a.34. Tokyo Stock Exchange (Japan);
- 1.3.3.a.35. Franklin Templeton International Services S.A. (Luxembourg);
- 1.3.3.a.36. Raiffeisen Bank International AG (Austria);
- 1.3.3.a.37. BNP Paribas Luxembourg (Luxembourg);
- 1.3.3.a.38. Man Investments (Switzerland).