



BNY Mellon EMEA Order Handling and Execution Policy

List of Execution Venues

For Professional Clients

Effective date: November 1, 2019

Version number: 2.0

1. Introduction

In accordance with regulatory requirements set out in Markets in Financial Instruments Directive 2014/65/EU ('**MiFID II**'), the Markets in Financial Instruments Regulation 600/2014 ("**MiFIR**"), the Commission Delegated Regulation (EU) 2017/565 and the relevant implementing measures and regulatory guidance in each of the relevant EEA member states, all EEA BNY Mellon entities listed below ("**BNYM**", "**we**" or "**us**") are required to make public in relation to BNYM's Order Execution Policy a list of the execution venues on which BNYM places significant reliance.

This List of Execution Venues to BNYM's Order Execution Policy covers the following BNYM legal entities:

- The Bank of New York Mellon, London Branch;
- The Bank of New York Mellon, Brussels Branch;
- BNY Mellon Capital Markets EMEA Ltd;
- The Bank of New York Mellon (International) Limited;
- The Bank of New York Mellon SA/NV;
- The Bank of New York Mellon SA/NV, London Branch;
- The Bank of New York Mellon SA/NV, Dublin Branch;
- The Bank of New York Mellon SA/NV, Frankfurt Branch;
- The Bank of New York Mellon SA/NV, Amsterdam Branch; and
- The Bank of New York Mellon SA/NV, Luxembourg Branch.

The list of execution venues in this document is non-exhaustive but comprises only the venues on which BNYM places significant reliance. This list will be kept under review by BNYM and updated in the event there is a material change to the list of venues on which BNYM places significant reliance.

2. Fixed Income (Bonds & Money Market Instruments) Brokerage Services Execution Venues

a. Multilateral trading facilities:

- Bloomberg MTF
- MTS Bond Vision
- MTS Bondspro
- UBS Bond Port
- Tradeweb

b. Liquidity providers:

- ABN Amro Bank NV
- Australia & New Zealand Banking Group Limited
- Banca IMI S.P.A.
- Banco Bilbao Vizcaya Argentaria SA
- Bank of Montreal London Branch
- Barclays Bank PLC
- Bayerische Landesbank
- BNP PARIBAS SA
- BNY Mellon Capital Markets EMEA Limited (only applicable when this entity provides execution services)
- BNY Mellon Capital Markets LLC
- Citigroup Global Markets Ltd

- COMMERZBANK AG
- Commonwealth Bank of Australia
- Credit Agricole CIB
- Credit Suisse Securities (Europe) Limited
- Daiwa Capital Markets Europe
- Danske Bank A/S
- DBS BANK LTD
- DEKA BANK GIROZENTRALLE
- Deutsche Bank AG London
- DZ Bank AG
- Emirates NBD Bank P.J.S.C
- Erste Group Bank AG
- Goldman Sachs International
- GUY BUTLER
- HSBC BANK PLC
- ICBC Standard Bank PLC
- ING BANK NV
- Jane Street Financial Limited
- Jeffries International Limited
- JP Morgan Markets Limited
- KBC Bank NV
- King and Shaxson
- Landesbank Baden-Wurtemberg
- Landesbank Hessen Thuringen Girozentrale
- Lloyds Bank Corporate Markets PLC
- MAXIM GROUP LLC
- Merrill Lynch International
- Millenium Europe Limited
- Mitsubishi UFJ International
- Mizuho International
- Morgan Stanley & Co International
- MTS Markets International
- National Australia Bank Limited
- National Bank of Abu Dhabi P.J.S.C.
- Natixis SA
- Natwest Markets Plc
- NIBC MARKETS N.V
- Nomura International Plc
- Noor Bank PJSC
- Nykredit Bank
- OP Corporate Bank Plc
- Oppenheimer Europe Ltd
- RaboBank
- RBC Europe Limited
- Skandinaviska Enskilda Banken AB
- SMBC Nikko Capital Markets Limited
- Societe Generale
- Standard Chartered
- The Bank of New York Mellon, London Branch
- Toronto-Dominion Bank London Branch

- UBS Limited London Branch
- UniCredit Bank AG
- Wells Fargo Securities International Limited
- Westpac Banking Corporation
- Zurcher Kantonalbank

3. FX Execution Venues

- The Bank of New York Mellon
- The Bank of New York Mellon, SA/NV

4. Agency Cash Collateral Reinvestment and Agency Investment Product Execution Venues

For Cash Collateral Reinvestment and Agency Investment Product BNYM will execute transactions in one of the following ways:

- (i) Bloomberg
- (ii) Trade Web
- (iii) Tradition
- (iv) MarketAxess
- (v) OTC

If you require any information in regards to the counterparties BNYM transacts with when dealing on an OTC basis please consult Workbench or contact your BNYM relationship manager.

5. Agency Securities Lending Execution Venues

Trades in the securities lending market are primarily agreed bilaterally between parties, and not traded or executed on a recognized exchange.

For securities lending BNYM will execute transactions in one of the following ways:

- (i) OTC - Orders are negotiated with a counterparty (“the borrower”) with whom we have entered into an agreement for processing orders on an agency basis;
- (ii) Equilend / Bondlend - are regulated multilateral trading facilities (MTF) which provide a common platform for the negotiation and processing of securities lending transactions; and
- (iii) LoanNet - is a regulated multilateral trading facility (MTF) which provides a common platform for the negotiation and processing of securing lending transactions.

If you require any information in regards to the borrowers BNYM uses please consult Workbench or contact your BNYM relationship manager.

<https://workbench.bnymellon.com/index.jsp>