

Appendix A

Execution Venues and Counterparties

These are the venues and counterparties upon which Brewin Dolphin places its reliance as referred to in the Order Execution Policy. Please note that this list of Execution Venues and Counterparties is not exhaustive but comprises of those on which Brewin Dolphin places significant reliance. This list will be reviewed and updated in line with Brewin Dolphin’s Order Execution Policy.

Brewin Dolphin reserves the right to use other Execution Venues additional to those listed here where it deems appropriate in accordance with Brewin Dolphin’s Order Execution Policy and to remove any Execution Venues from the list.

UK

Venue	Asset coverage
London Stock Exchange (1)	All asset classes.
MTFs (2) – BATS, Chi-X, Equiduct, Turquoise	
NYSE Arca Europe	

(1) Covers all London Stock Exchange Member Firms

(2) via Winterflood Securities’ Direct Market Access

Overseas Counterparty

<u>Overseas counterparty</u>	<u>Market/ asset coverage</u>
Bank Of America Merrill Lynch	All markets/ Bonds
Barclays Bank PLC	All markets/ Bonds
BNP Paribas	All markets/ Bonds
Bridport	All markets/ Bonds
Canaccord Genuity	All markets/ Bonds
Citigroup London	US/ Bonds
CLSA (UK)	Far East/ Australasia/ Equities
Cowen Execution Services LLC	All markets/ Equity
Credit Agricole Corporate & Investment Bank	All markets/ Bonds
Credit Suisse International	All markets/ Bonds
Daiwa Capital Markets Limited	All markets/ Bonds
Danske Bank	All markets/ Bonds
Davy	Europe/ Equity/ Bonds
Exotix Partners	Emerging Markets/ Africa/ Equity
Goodbody Stockbrokers	Europe/ Equity/ Bonds
Guy Butler Limited	All markets/ Bonds
Baader Bank AG - Helvea Inc.	Europe/ Equity
HSBC Bank PLC.	All markets/ Bonds
ING	All markets/ Equity



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<u>Overseas counterparty</u>	<u>Market/ asset coverage</u>
Investec	All markets/ Bonds
Janney Montgomery Scott	US/ Equity/ Bonds
Jeffries International	All markets/ Bonds
J P Morgan	All markets/ Bonds
Virtu Financial Ireland Ltd	All markets/ Equity
King & Shaxson Limited	All markets/ Bonds
KochBank Frankfurt	Europe/ Equity
Kredietbank Luxembourg	All markets/ Bonds
Stifel Nicolaus Europe Limited	All markets/ All asset classes
Lloyds Bank PLC	All markets/ Bonds
Mitsubishi UFJ Securities	All markets/ Bonds
Mizuho International	All markets/ Bonds
Morgan Stanley	All markets/ Bonds
National Australia Bank	All markets/ Bonds
NCL Investments	All markets/ Bonds
Nomura	All markets/ Bonds
Numis Securities	All markets/ Bonds
Oppenheimer	All markets/ Bonds
Peel Hunt	All markets/ Bonds
Rabobank	All markets/ Bonds
RBC Capital Markets	All markets/ Bonds
RBS	All markets/ Bonds
Redburn Europe Ltd.	Europe/ Equity
RIA Capital Markets	All markets/ Bonds
Robert W Baird	US/ Equity
Sanford Bernstein	All markets/ Equity
Santander	All markets/ Bonds
Sasfin Securities	South Africa/ Equity
Shaw Stockbroking	Australia/ Equity
Societe Generale	All markets/ Bonds
TD Securities	All markets/ Bonds
UBS AG	All markets/ Bonds
UOB	Far East/ Australasia/ Equity
WH Ireland	Australia/ Europe/ Equity
Williams Capital Group	US/ Equity
Winterflood Securities	All markets/ Bonds
Zurcher Kantonalbank	All markets/ Bonds

** We also use some London Stock Exchange Member Firms for some of our overseas transactions