

List of Trading Venues and Counterparties for Deals with Financial instruments

General information

Joint-stock company "Rietumu Banka" (hereinafter – the Bank) provides information about the list of trading venues and counterparties for deals made in 2023 with financial instruments in accordance with Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organisational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive.

I List of trading venues:

The Bank has direct access and is a member of:

Nasdaq Riga (capital securities, debt securities segment).

The Banka has access to the following exchanges and trading venues through counterparty intermediaries:

Athens Stock Exchange	(equity securities);
Australian Stock Exchange	(equity securities);
Bloomberg Trading Facility Europe	(debt securities);
Bolsa de Madrid	(equity securities);
Chicago Mercantile Exchange	(derivatives);
Deutsche Börse	(equity securities, debt securities);
Eurex Exchange	(derivatives);
Euronext NV	(equity securities, derivatives, debt securities);
Hong Kong Stock Exchange	(equity securities);
Intercontinental Exchange	(equity securities, derivatives);
London Metal Exchange	(derivatives);
London Stock Exchange	(equity securities, debt securities);
Nasdaq Nordic	(equity securities, debt securities);
Nasdaq	(equity securities, derivatives, debt securities);
New York Stock Exchange	(equity securities, derivatives, debt securities);
Singapore Exchange	(equity securities, debt securities);
SIX Swiss Exchange	(equity securities, debt securities);
Japan Exchange Group, Inc	(equity securities, debt securities);
Toronto Stock Exchange	(equity securities);
Wiener Börse AG	(equity securities, debt securities);
Warsaw Stock Exchange	(equity securities, debt securities).

Investment funds:

Franklin Templeton International Services S.A. (Luxembourg);

Raiffeisen Bank International AG (Austria).

The Bank may execute clients' orders by concluding transactions on its own name.

II List of transaction counterparties for assessing order execution from clients:

Equity securities:

Baader Bank (Germany);
ICAP Capital Markets LLC (United Kingdom);
Pareto Securities AB (Sweden).

Debt securities:

Banca Zarattini & Co (Switzerland);
BCP Securities (United States of America);
Bridport & Cie S.A. (Switzerland);
Reuss Private AG (Switzerland);
Shore Capital (United Kingdom).

Derivatives:

Baader Bank (Germany);
Straits Financial LLC (United States of America).

Securities which certify participation in investment funds or equivalent investment structures:

Franklin Templeton International Services S.A. (Luxembourg);
Raiffeisen Bank International AG (Austria).

III List of depositories (Custody of assets is made in accordance with the rules of the depository and the prospectus of a financial instrument):

Euroclear Bank (Belgium);
Franklin Templeton Investments (Luxembourg);
Nasdaq CSD, SE (Latvia);
Raiffeisen Bank International AG (Austria);
Raiffeisen Bank JSC (Russia).

The JSC "Rietumu Banka" List of Trading Venues and Counterparties for Deals with Financial instruments is not final, and clients' orders may be executed at alternative trading venues which comply with JSC "Rietumu Banka" Excerpt from Client Categorisation, Appropriateness Assessment and Order Execution Policy.