Julius Bär

LIST OF OUTSOURCINGS OF BANK JULIUS BAER EUROPE S.A.

Name of Outsourced Service	Country of establishment of the provider	Type of information transferred	Description of Outsourced Service	Purpose of the outsourcing
Phone Recording (Mobile)	Luxembourg	Communication data	Recording of mobile phone conversations and SMS traffic	Ensuring compliance with MiFID regulation regarding recording of business conversations
Client Tax Reporting	Switzerland	Client identifying data	Generation of periodic tax reports	Leveraging Group capabilities and benefiting from scale effect
Trade Surveillance	Switzerland	Transaction data	Systematic control with regard to potential market abusive behaviour	Leveraging Group capabilities and benefiting from scale effect
Advisory Solution Services	Switzerland	Client identifying data, portfolio data	Provision of Research & Investment solutions for clients	Leveraging Group capabilities and benefiting from scale effect
CRS/FATCA Reporting	Switzerland	Client identifying data, portfolio data	Yearly regulatory disclosure of clients' income and year-end balances	Leveraging Group capabilities and benefiting from scale effect
Qualified Intermediaries Reporting	Switzerland	Client identifying data, portfolio data	Provision of reports on capital gain and other income (dividends, interests, etc.)	Leveraging Group capabilities and benefiting from scale effect
IT Services	Switzerland, Singapore	Any type of data, including client identifying data	Provision of various satellite IT banking systems in relation to: – Risk management, – Payments, – Securities transfers, – Credit, – Advisory, – Trades execution, – Cash and Securities reconciliation, – Management Information System, – Client Access authentication – Phone recording (landlines) – E-services usage dashboard	Leveraging Group capabilities and benefiting from scale effect
Printing of Client Reports/ Statements	Switzerland	Client identifying data, portfolio data	Printing of clients reports.	Leveraging Group capabilities and benefiting from scale effect
External Archiving	Luxembourg	All types of data, including client identifying data	Secure storage of physical archive including secure destruction of archived documents	Provision of an archive management solution with the required level of security
Julius Baer Zurich Trading Room	Switzerland	Client identifying data, transaction data	Provision of direct access to Julius Baer Zurich trading room for clients, with extended time schedule	Leveraging Group capabilities and benefiting from scale effect
Best Execution	Switzerland	Transaction data	Ensuring Best Execution in accordance with regulatory requirements	Leveraging on Group capabilities and benefiting from scale effect
Sanction Screening	Switzerland	Client identifying data, transaction data	Ensuring compliance with Sanctions regulations in the context of payments execution	Leveraging on Group capabilities and benefiting from scale effect

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Name of Outsourced Service	Country of establishment of the provider	Type of information transferred	Description of Outsourced Service	Purpose of the outsourcing
10 % Loss notification report	Switzerland	Client identifying data, transaction data	Ensuring compliance with MiFID regulation regarding client information on portfolio losses.	Leveraging on Group capabilities and benefiting from scale effect
PSD2 Interface	Luxembourg	Client identifying data, transactions data	Interface with the PSD 2 application provider	Compliance with PSD 2 directive
CEDRS interface	Luxembourg	Client identifying data	Interface with the CEDRS system managed by CSSF as per Circular 20/747	To ensure compliance with CSSF Circular 20/747 requirements
Transaction Monitoring	Switzerland	Client identifying data, transactions data	Provision of a central Anti-Money Laundering solution	Leveraging on Group capabilities, benefiting from scale effect and harmonize AML standards across the Group
Compliance and Risk services	Spain, Ireland	Client identifying data, transactions data	Provision of various services between the Bank and its branches in Spain and Ireland in relation to Compliance obligations and Risk management	Leveraging on the expertise located in the branches that the Bank has established
Global client survey	Switzerland	Client identifying data	Organisation of annual centralized clients surveys	Leveraging on Group capabilities, benefiting from scale effect
Regulatory reporting	Spain	Client identifying data, transactions data	Submission of specific regulatory reports to the Bank of Spain	Leveraging on the capabilities of the Branch in Spain
Video Identification	Switzerland	Client identifying data	Video Identification for client onboarding	Faster identification of prospects and to decrease volume of business trips
E-signature	Switzerland	Prospect/Client identifying data	Electronical signature of account opening agreements, enabling a digital onboarding of the Prospect.	Faster identification of prospects and to decrease volume of business trips
E-service support	Switzerland	Client identifying data	Provision of client support in relation to E-service	Leveraging on Group capabilities and benefiting from scale effect
Information Security & Cyber Security Services	Switzerland, Singapore	Any type of data, including client identifying data	Provision of services pertaining to data security and confidentiality	Leveraging Group capabilities and benefiting from scale effect

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