

# 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
Disaster Recovery	Luxembourg	No client related data is transferred	Provision of disaster recovery services as part of the Bank's Business Continuity Plan	Supporting business continuity capabilities
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 Tool	Switzerland	Transaction data	Systematic control with regard to potential market abusive behaviour	Leveraging Group capabilities and benefiting from scale effect
Credit Risk System	Switzerland	Client identifying data, portfolio data	Monitoring of credit limits	Leveraging Group capabilities and benefiting from scale effect
Advisory Suite	Switzerland	Client identifying data, transaction data, portfolio data	Provision of an integrated advisory platform providing investment recommendations and supporting MiFID related controls	Leveraging Group capabilities and benefiting from scale effect
Advisory Solution Services	Switzerland	No client related data is transferred	Provision of Research & Investment solutions for clients	Leveraging Group capabilities and benefiting from scale effect
SWIFT	Switzerland	Client identifying data, transactions data, payment data	Provision of access to SWIFT network	Leveraging Group capabilities and benefiting from scale effect
Financial Instrument Master Data	Switzerland	Financial instruments data	Provision of financial instrument master data and related updates	Leveraging Group capabilities and benefiting from scale effect
Reconciliation	Switzerland	Client identifying data, transaction data, payment data	Reconciliation and matching of cash and securities transactions	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
Phone Recording (Landlines)	Switzerland	Communication data	Recording of landline phones conversations	Ensuring compliance with MiFID regulation regarding recording of business conversations
IT Infrastructure Services	Switzerland	Any type of data contained in emails and files, including client identifying data	Provision of internet and intranet access, internal and external e-mail access and storage, workstations and fixed phones	Leveraging Group capabilities and benefiting from scale effect

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Printing of Client Reports/ Statements	Switzerland	Client identifying data, portfolio data	Printing of clients reports.	Leveraging Group capabilities and benefiting from scale effect
Management Information System	Switzerland	Client identifying data, portfolio data	Provision of management information including Key Performance Indicators	Leveraging Group capabilities and benefiting from scale effect
Asset and Liability System	Switzerland	Financial data	Asset and Liability Management tool for managing interest and liquidity risks	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
Risk Management System	Switzerland	Risk management data	Provision of an integrated Risk Management Platform for the Internal Control Framework	Leveraging Group capabilities and benefiting from scale effect
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
Trading Systems	Switzerland	Client identifying data, transactions data	Provision of a system to request quotes and trade FX/EQ structured products, FX spots forwards/swaps	Leveraging Group capabilities and benefiting from scale effect
Multi-Custody Solution	Switzerland	Client identifying data, transaction data	Provision of a Portfolio Management solution for clients whose assets are booked with a foreign bank in their country of residence	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
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
OTC Trade reporting	Switzerland	Client identifying data, transaction data	Ensuring compliance with MiFID regulation regarding the publication of transaction data on OTC instruments.	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
Global Authentication Infrastructure	Switzerland	Client identifying data	Authentication for accessing E-banking and several tools for Intermediaries	To leverage on Group capabilities and benefit from scale effect.
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
Internal Audit Data Analytics	Switzerland	Client identifying data	Provision of Data Analytics to support BJB Internal Audit works	To leverage on Group capabilities and benefit from scale effect

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Video Identification	Switzerland	Client identifying data	Video Identification for client onboarding	Faster identification of prospects and to decrease volume of business trips

Luxembourg, March 2021