

Information on MAINFIRST BANK AG and its services

Following the guidelines of § 63 section 7 of the Securities Trading Act („Wertpapierhandelsgesetz - WpHG“) you will find below information regarding our securities trading services:

1. The Company

MAINFIRST BANK AG
Kennedyallee 76
60596 Frankfurt am Main
Germany

Commercial Register Frankfurt am Main, HRB No. 53261
LEI: 529900MC68RTGHKI4F05

Board of Directors: Ebrahim Attarzadeh, Bjoern Kirchner
Chairwoman of the Supervisory Board: Eithne O’Leary

Phone: +49 (0)69 78 808-0
Fax: +49 (0)69 78 808-197
E-Mail: info@mainfirst.com
Internet: www.mainfirst.com

2. Permission § 32 German Banking Act (“Kreditwesengesetz - KWG”) and the responsible authority

On October 4, 2001, the Federal Financial Supervisory Authority („Bundesanstalt für Finanzdienstleistungsaufsicht – BaFin“) has granted MAINFIRST BANK AG permission according to § 32 KWG to operate the following:

- Deposit business (§ 1 sec. 1 sentence 2 no. 1 KWG),
- Lending business (§ 1 sec. 1 sentence 2 no. 2 KWG),
- Bill broking business (§ 1 sec. 1 sentence 2 no. 3 KWG),
- Commission business (§ 1 sec. 1 sentence 2 no. 4 KWG),
- Custody business (§ 1 sec. 1 sentence 2 no. 5 KWG),
- Entry of the obligation to repurchase previously disposed loan claims before maturity (§ 1 sec. 1 sentence 2 no. 7 KWG),
- Guarantee business (§ 1 sec. 1 sentence 2 no. 8 KWG),
- Permission for cheque collection, bill of exchange collection and traveller’s cheques businesses (§ 1 sec. 1 sentence 2 no. 9 KWG),
- Underwriting business (§ 1 sec. 1 sentence 2 no. 10 KWG),
- Investment brokerage (§ 1 sec. 1a sentence 2 no. 1 KWG),

- Investment advice (§ 1 sec. 1a sentence 2 no. 1a KWG),
- Placement business (§ 1 sec. 1a sentence 2 no. 1c KWG),
- Contract broking (§ 1 sec. 1a sentence 2 no. 2 KWG),
- Portfolio management (§ 1 sec. 1a sentence 2 no. 3 KWG),
- Dealing on own account (§ 1 sec. 1a sentence 2 no. 4 KWG),
- Third countries deposit placement brokerage (§ 1 sec. 1a sentence 2 no. 5 KWG),
- Foreign exchange (§ 1 sec. 1a sentence 2 no. 7 KWG),
- Factoring (§ 1 sec. 1a sentence 2 no. 9 KWG),
- Financial leasing (§ 1 sec. 1a sentence 2 no. 10 KWG) and
- Investment management (§ 1 sec. 1a sentence 2 no. 11 KWG)
- Revolving business (§ 1 sec. 1 sentence 2 no. 7 KWG).

The responsible authority is the Federal Financial Supervisory Authority („BaFin“) with registered addresses at Graurheindorfer Str. 108, 53117 Bonn, Germany as well as Marie-Curie-Str. 24-28, 60439 Frankfurt am Main, Germany (www.bafin.de).

3. Our services

MAINFIRST BANK AG currently offers the following services for institutional customers:

- Commission business (purchase or disposal of financial instruments on MAINFIRST’s own behalf for the account of a third party);
- Placement business (placing of financial instruments);
- Foreign exchange dealings (in conjunction with securities-related services);
- Proprietary business (“Eigengeschäft”);
- Proprietary trading (“Eigenhandel”);
- Financial analysis (preparation, distribution and propagation of financial analysis and other information on financial instruments or their issuers, that contain a recommendation directly or indirectly for a specific investment decision and are made available to an indefinite group of people);
- Advice on capital structure, business strategy and related questions, the advice on mergers and acquisitions as well as further advisory services);
- As well as services in conjunction with underwriting business.

4. Execution venues

The execution venues of MAINFIRST BANK AG can be found on our website (www.mainfirst.com).

5. Costs and additional charges

Agreements on commissions, costs and ancillary costs of services are agreed ex-ante with the customer on an individual basis.

6. Means of communication and language

During regular business hours clients can either communicate with us personally, via telephone, e-mail or in writing in German or English language. Clients can either submit any orders personally, via telephone, e-mail or in writing in German or English language. Further means of communication or languages respectively for the placement of orders can be agreed individually.

7. Orders executed

Orders executed are confirmed to our clients through the means of communication defined before (e.g. electronically/via e-mail) unless agreed otherwise. Shipment is effected on the same day if possible, but no later than the next business day after the execution of the client order. Provided that it is agreed, clients are also informed of the status of their orders electronically/by telephone during our business hours.

8. Conflicts of interest policy

Our conflicts of interest policy includes all measures taken to avoid potential conflicts of interest as well as all regulations and guidelines to deal with potential conflicts of interest that occur in relation to the variety of the businesses and clients of MAINFIRST BANK AG. This policy can be found in the download area of our website www.mainfirst.com (Equities section; Compliance policy).

9. Regulations regarding remuneration strategy and system

In our "Remuneration Information" you will find all information regarding the remuneration strategy and the remuneration system of MAINFIRST BANK AG. These can be found in the Disclosure Report pursuant to § 26 a of the German Banking Act (KWG) (in the download area of our website www.mainfirst.com (Equities; Corporate Disclosures section)).

10. Compensation Scheme of German Private Banks („Entschädigungseinrichtung deutscher Banken GmbH“ – „EdB“)

MAINFIRST BANK AG, Frankfurt am Main, is assigned to the “Entschädigungseinrichtung deutscher Banken GmbH”, with registered address at Burgstr. 28, 10178 Berlin, Germany. EdB is the compulsory compensation scheme for private commercial banks in Germany.

Frankfurt am Main, September 2019

MAINFIRST BANK AG
- Board of Management -