Eurex Clearing AG

DEUTSCHE BÖRSE GROUP

Statement concerning the combating of money laundering and terrorist financing and customer due diligence

Dear Customer,

Eurex Clearing AG (License No BAK 119203) is a credit institution licensed and regulated by the German Financial Supervisory Authority (BaFin - Bundesanstalt für Finanzdienstleistungsaufsicht) pursuant to the Banking Act (Gesetz für das Kreditwesen). Eurex Clearing AG is also an authorized clearing house under the European Market Infrastructure Regulation (EMIR). Eurex Clearing AG has been granted authorization as a Central Counterparty (CCP) under the European Market Infrastructure Regulation (EMIR) on 10 April 2014. The authorization as EMIR compliant CCP also determines Eurex Clearing AG as a qualifying CCP (QCCP) under Basel III / CRD IV. It has its principal address in Mergenthalerallee 61, 65760 Eschborn, Germany. Eurex Clearing AG is wholly owned by Eurex Frankfurt AG, which is in turn 100% owned by Deutsche Börse AG, a publicly traded company listed on the Frankfurt Stock Exchange and with no natural person owning or controlling 10% or more of it's shares.

Eurex Clearing AG is in compliance with the international standards to combat money laundering and the funding of terrorist activities. Germany is a member country of the Financial Action Task Force (FATF) and the European Union (EU) and has enacted laws and rules designed to implement the requirements of the EU and the FATF concerning the combating of money laundering and terrorist financing. In order to detect and prevent money laundering and potential terrorist financing, Deutsche Börse Group has adopted group-wide policies and procedures governing compliance with national and international anti-money-laundering standards. These policies and procedures apply to all relevant branches and subsidiaries of Deutsche Börse Group taking into account provisions of local law.
In particular, written policies and procedures including provisions regarding customer identification and record keeping, a designated Anti-Money-Laundering Officer, training and informing of the relevant employees and independent audits (internal and external) to test the implementation are part of this concept. Taking a risk based approach, Eurex Clearing AG monitors higher risk or suspicious transactions, as well as high risk clients including PEPs.

The program against money laundering and terrorist financing is complemented by measures to ensure that Deutsche Börse Group complies with embargo regulations applicable in the EU and in the jurisdictions in which Deutsche Börse Group operates. Deutsche Börse Group maintains lists that are compiled on the basis of multiple sources, especially from the EU, Bundesbank, CSSF, OFAC and undertakes its best efforts to ensure compliance with these restrictions and to detect suspicious activities.
If we determine that a customer is or has become subject to sanctions, we will notify the regulator according to German law and take appropriate measures including blocking the assets of the concerned customer.

We have conducted Customer Due Diligence (CDD) on our customers and where appropriate enhanced CDD. We have also, where applicable, conducted CDD on the beneficial owner. We will conduct such CDD on any new customer and beneficial owner, where applicable. In case our customer is a bank (including branches) we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate of a regulated entity. Taking a risk based approach we will monitor transactions of our clients to identify possible suspicious activity. As required by law we will report directly to the Financial Intelligence Unit and other competent authorities, should we identify suspicious activities.

We will retain and maintain documentary evidence of the identity of our customers for a period of at least five years from the cessation of our relationship with the customer.
We agree to furnish you with documentary evidence retained by us concerning our customer upon request to the extent permitted by law.

Oliver Haderup

Chief Compliance Officer Eurex Clearing AG
Title

Eschborn, 14.06.2019
Date and place

James Henry Freis Jr.

Chief Compliance Officer Deutsche Börse Group
Title

Eschborn, 14.06.2019
Date and place