

## General Information about Skandinaviska Enskilda Banken AB (publ) and its Frankfurt Branch

1. General Information	State: 23 February 2018
Legal Name	Skandinaviska Enskilda Banken AB (publ) Frankfurt Branch
Shareholder and group structure	EU branch in accordance to chapter 53b Banking Act (KWG) Stockholm/Sweden (ISIN: SE0000148884, Bloomberg Ticker: SEBA SS)
Name of Regulatory authorities	- Finansinspektionen - Bundesanstalt für Finanzdienstleistungsaufsicht (www.bafin.de)
Legal Form	Limited corporation
Principal place of business	Germany
Date of incorporation	17.12.1971
Registered at	Frankfurt am Main/Germany
Banking license	<a href="https://portal.mvp.bafin.de/database/InstInfo/institutDetails.do?cmd=loadInstitutAction&amp;institutId=119911">https://portal.mvp.bafin.de/database/InstInfo/institutDetails.do?cmd=loadInstitutAction&amp;institutId=119911</a>
Tax Identification No. (UID Nr.) Frankfurt Branch	Vat Reg. No. DE 248 508 670
Tax identification No – SEB AB Stockholm	502032-9081
Nationale Steuernummer Frankfurt Branch	047 220 43358
BIC/SWIFT – Branch	ESSEDEFF
BIC/SWIFT – SEB AB	ESSESESS
Commercial Register no. Branch	HRB 77207
FATCA compliant	Yes: <a href="https://sebgroup.com/large-corporates-and-institutions/fatca">https://sebgroup.com/large-corporates-and-institutions/fatca</a>
FATCA Formular W8 BEN-E Frankfurt Branch	<a href="https://seb.de/siteassets/bedingungenpflichtangabenrechtliches/fra_seb-ab_w-8ben-e_2017_fatca_only.pdf">https://seb.de/siteassets/bedingungenpflichtangabenrechtliches/fra_seb-ab_w-8ben-e_2017_fatca_only.pdf</a>
GIIN – Frankfurt Branch	6BRL9A.00000.BR.276
GIIN – SEB AB Sthlm	6BRL9A.00000.LE.752
W-8BEN-E	<a href="https://seb.de/siteassets/bedingungenpflichtangabenrechtliches/fra_seb-ab_w-8ben-e_2017_fatca_only.pdf">https://seb.de/siteassets/bedingungenpflichtangabenrechtliches/fra_seb-ab_w-8ben-e_2017_fatca_only.pdf</a>
LEI	F3JS33DEI6XQ4ZBPTN86

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1. General Information	State: 23 February 2018
Location of Head Office	Kungsträdgårdsgatan 8, 111 47 Stockholm, Sweden
Location of Local Office	60313 Frankfurt am Main Stephanstraße 14 - 16, Germany
Website address	<a href="http://www.seb.de">www.seb.de</a>
Name of regulated market on which parent is listed	NASDAQ Stockholm
Compliance/AML Officer Name	Markus Esswein (Compliance and AML officer)
Compliance/AML Officer Telephone No.	0049 69 258-6046
Compliance/AML Officer Email address	<a href="mailto:markus.esswein@seb.de">markus.esswein@seb.de</a>
Managing directors	<a href="https://seb.de/uber-die-seb/uber-uns/geschaeftsleitung">https://seb.de/uber-die-seb/uber-uns/geschaeftsleitung</a>
Is your institution publicly owned?	Yes
Is your Institution listed on any stock exchanges?(If Yes, Ownership, Details/shareholders)	Yes: <a href="https://sebgroupp.com/investor-relations/the-share/largest-shareholders">https://sebgroupp.com/investor-relations/the-share/largest-shareholders</a>
Auditor	PricewaterhouseCoopers GmbH Wirtschaftsprüfungsgesellschaft
Total assets/net assets	<a href="https://sebgroupp.com/about-seb">https://sebgroupp.com/about-seb</a>
Countries in which business is conducted	<a href="https://sebgroupp.com/about-seb/our-locations/home-markets">https://sebgroupp.com/about-seb/our-locations/home-markets</a>
Type of business / distribution	Corporate and institutional banking. For more details: <a href="https://sebgroupp.com/about-seb">https://sebgroupp.com/about-seb</a>
Describe changes in the organisation during the last year, material changes/number of staff	<a href="https://seb.de/uber-die-seb/presse/news/start-seb-ab-branch">https://seb.de/uber-die-seb/presse/news/start-seb-ab-branch</a>
The company is authorized under MiFID	Yes
The company has adequate internal control system and internal audit, compliance and risk management are organized as independent functions and report to the Board	Yes
The company has in place appropriate record keeping procedure in relation to personal data and transaction	Yes

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There is an appropriate Risk Management and Internal Control System in place (in line with common standard)	Yes
The Compliance Office is outsourced	No
There are appropriate systems in place to prevent conflicts of interests due to the remuneration scheme	Yes
There are appropriate systems in place to guarantee an effective Complaint Management System	Yes
There are appropriate systems in place for the protection of confidential data, loss of data and manipulation attempts of data	Yes
The company can hold assets (securities or cash) of funds for which they could provide brokerage as well	No
There are appropriate AML & Compliance (especially, but not only, market abuse and best execution) systems in place (in line with common standards)	Yes
Employees of the Compliance Office are involved in any other activities in connection with the provision of securities services	No
Employees are updated regularly about changes of regulatory Compliance requirements as well as the Code of Conduct	Yes
There is a professional liability insurance in place	Yes

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There is IT as well as back-up systems in place in line with common standards	Yes
There is a possibility to trade via bloomberg	Yes
Settlement is done concurrently (delivery versus payments)	Yes
Transaction confirmations are provided	Usually Intraday
In the past five years the company was sanctioned by a court or by a regulator due to violation of regulatory requirements	Yes, Skandinaviska Enskilda Banken (publ) Stockholm
The company is a member of a Broker Association and a liability umbrella	Yes
Wolfsberg Questionnaire	<a href="http://webapp.sebgroup.com/mb/mblib.nsf/a-w/6940979f3bb92a88c12580350044eb09/\$file/wolfsberg.pdf">http://webapp.sebgroup.com/mb/mblib.nsf/a-w/6940979f3bb92a88c12580350044eb09/\$file/wolfsberg.pdf</a>

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<b>2. Risk Management</b>	
There are effective processes and mechanisms in place to detect, evaluate and manage risks	Yes
There are guidelines and/or a manual in which all (operational) risks are summarized	Yes
There are regular trainings for employees (on the basis of the aforementioned guidelines/manual)	Yes
Risks are reviewed and evaluated	For every business transaction and monthly
<b>3. Miscellaneous information</b>	
CRR-bank	Yes
Turnover, Assets/Number of Employees	<a href="https://sebgroup.com/about-seb">https://sebgroup.com/about-seb</a>
Country of tax – branch	Germany
Country of tax – SEB AB Stockholm	Sweden
Largest shareholders of Skandinaviska Enskilda Banken (publ)	<a href="https://sebgroup.com/investor-relations/the-share/largest-shareholders">https://sebgroup.com/investor-relations/the-share/largest-shareholders</a>
Annual Report Skandinaviska Enskilda Banken (publ)	<a href="https://sebgroup.com/investor-relations">https://sebgroup.com/investor-relations</a>
List of authorised signatories (Unterschriftenprobenblatt)	Available upon request at HR-department