

Hellwig Wertpapierhandelsbank GmbH

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Information on Hellwig Wertpapierhandelsbank GmbH

Information on the financial institution

Hellwig Wertpapierhandelsbank GmbH
Hochstraße 49
60313 Frankfurt am Main

Telephone +49(0)69 / 92 00 26-0

Fax +49(0)69 / 92 00 26-18

Authorisation and responsible supervisory authority

We are authorised as a securities trading bank (*Wertpapierhandelsbank*) under section 32 of the German Banking Act ("*KWG*"). The responsible supervisory authority is the Federal Financial Supervisory Authority (*Bundesanstalt für Finanzdienstleistungsaufsicht*), Marie-Curie-Str. 24-28, 60439 Frankfurt/Main (internet: www.bafin.de).

Information on our deposit protection system

We are associated with the compensatory Fund of Securities Trading Companies (*Entschädigungseinrichtung der Wertpapierhandelsunternehmen, EdW*), 10865 Berlin.

Please note that only Private individuals and partnerships as well as small corporations (in the meaning of the German Commercial Code) are entitled to compensation. Credit institutions and financial services institutions, insurance companies, investment companies, medium-sized and large corporations (in the meaning of the German Commercial Code) and the public sector are not entitled to compensation.

Method and language of communication

You may contact us personally, by telephone or in writing in German and English. Customer orders can be communicated in German and English in person, by telephone or in writing.

Please note that for orders communicated by telephone, only those means specifically agreed shall apply.

Information on completion of transactions

Within the scope of exchange market making activities (*Skontroführung*) our clients will automatically receive an invoice after each transaction in financial instruments informing them about the key data of the transaction (settlement note via the exchange systems), if not agreed otherwise.

In case of transactions which are not covered by the scope of exchange market making activities (*Skontroführung*), our clients will receive a notice in respect of each completed transaction via the clearing or custodian bank, or a settlement note in respect of transactions which are settled via the exchange systems.

DIRECTOR

Arne Hellwig and Annick Kleine

HEAD OFFICE AND COMMERCIAL-REGISTER IBAN

COURT

Frankfurt am Main HRB (Commercial Register) 49853

SWIFT-BIC

HELADEF1822

DE68 5005 0201 0200 4654 22

BANK DETAILS

Frankfurter Sparkasse

Sort Code: 500 502 01

Account no.: 200 465 422

MEMBER OF

Bundesverband der

Wertpapierfirmen



Conflict of interest policy

We have put measures in place to ensure that customer interests are not affected by potential conflicts of interest between us, our management team, our employees or other persons linked with us by means of direct or indirect control and you or between the customers amongst themselves. You can find further details on this in our leaflet “Information on conflicts of interest policy”.

Information on investment services and financial instruments

We offer the following investment services: market making (Skontrführung), contract broking (*Abschlussvermittlung*), own account trading (*Eigengeschäft*), proprietary trading (*Eigenhandel*) and principle brokering services (*Finanzkommissionsgeschäft*). We offer these services with respect to corporate and bank bonds as well as bonds issued by public institutions.

Costs and ancillary costs

The price of our services (except market making activities) is agreed on an individual basis.

Settlement Information

We settle our trades via HSBC Trinkaus & Burkhardt, Düsseldorf. International ISIN numbers are settled via CBL account 64043, while German domestic securities (DE-ISIN's) are settled via CBF account 4043. Back office inquiries should be directed towards our back office team (Phone: +49 69 9200 26 630), or to the email backoffice@hellwigbank.com. Trade confirmations should be sent to confirmation@hellwigbank.com or Fax +49 69 9200 26-28.

For stock exchange trades (*Schlussnote*) in conjunction with Hellwig's market making activities, the relevant clearing number is 7803.

Notice about Securities Prospectuses

In accordance with legal regulations, published prospectuses are available directly from the Issuer. Generally, such prospectuses are available via the internet site of the issuer.

Notice of Bail-In

We make specific note that stocks, bonds, as well as other securities and/or debts issued by banks and savings & loans (Sparkassen) throughout Europe, are subject to special rules and regulations in the case of a potential liquidity situation of such a European financial institution. Background to this are the legal rules covering bank restructurings and liquidations. The rules (covering so-called bail-ins) can have a negative impact on investors and contractual partners of the respective institution in the case of liquidation. For information on which instruments are effected: www.bafin.de (search term “Haftungskaskade”).

Product Governance

We trade exclusively with “eligible counterparties”. Thus, we do not check whether a counterparty meets the target market categories of knowledge and experience, financial situation with a focus on the ability to bear losses, risk tolerance and compatibility of the risk/reward profile of the product, or objectives and needs of such eligible counterparties.

Note on Customer Complaints

It is our goal to provide all customers with a level of service that meets their standards. Should a situation arise, in which you feel it is necessary to file a complaint with us, you can reach us at +49 69 920 026 0, or via mail at Hellwig Wertpapierhandelsbank GmbH, Hochstraße 49, 60313 Frankfurt/Main, Germany, or via E-Mail at info@hellwigbank.com. We will attend to such complaints as quickly as possible, and in accordance with our principles of customer complaint management. These can be found on www.hellwigbank.com

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Hellwig is operating as a MiFID II investment firm and the Legal Entity Identifier (LEI) is 529900XOJQMU4B2GCT21.

All queries regarding MiFID II can be sent to backoffice@hellwigbank.com.

Hellwig Wertpapierhandelsbank GmbH,

Frankfurt, December 2019

DIRECTOR

Arne Hellwig and Annick Kleine

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