



HELVEA

Outsourcing Information

According to the Circular of the Swiss Financial Market Supervisory Authority regarding the outsourcing of Business Areas, customers of a registered securities dealer are to be informed in detail by a separate letter – indicating the security measures taken – before customer data such as name and address is transferred abroad within the framework of an outsourcing solution – see sections 2a) and 2b) below.

Helvea SA, Geneva, Switzerland (hereinafter Helvea) subcontracts some of its processing and operational activities to specialized subcontractors located in Switzerland and in France. The final responsibility for management and monitoring of these services resides with Helvea.

1. SECURITY MEASURES IMPLEMENTED

All subcontractors of Helvea have to comply with the regulations in force in their respective countries and to adhere to a strict confidentiality duty. In addition they have to implement the highest security and quality standards as to access, modification and maintenance of any information transmitted to or stored by them.

The transmission of any information between Helvea and its subcontractors or among the subcontractors takes place via secured medias, additional security being provided by the implementation of modern state-of-the-art encryption and system access authentication.

2. LIST OF OUTSOURCED ACTIVITIES AND PROVIDERS

A) SOCIÉTÉ GÉNÉRALE, ZURICH BRANCH, SWITZERLAND:

- Access to the electronic stock exchanges via its gateways and correspondents.
- Settlement services for all security trades conducted by Helvea.
- Maintenance of all settlement details for trades executed by Helvea.
- Recordkeeping related to the activities listed above as per applicable regulations.

Société Générale, Zurich Branch outsources the IT-Servers used for securities and derivative clearing activities as well as the following functions to Société Générale's processing centre in Paris:

- Encoding of client payment instructions.
- Transmission of payment instructions to the clearing centre (SIC and Euro-SIC) or Société Générale's correspondents.
- Processing of incoming funds.

B) GL TRADE SA (SUNGARD), GENEVA, SWITZERLAND:

- Hosting, maintenance, operation, disaster recovery and business continuity of order routing and risk management systems and servers.
- Maintenance and operation of a dedicated secured network to route all information related to security trades conducted by Helvea;
- Recordkeeping related to the activities above as per applicable regulations.

These services are carried out by GL TRADE's headquarters in Paris and back-up site in London under the supervision of GL TRADE SA, Geneva.

C) BECHTLE IT-SYSTEMHAUS SUISSE ROMANDE, CRISSIER, SWITZERLAND:

- Maintenance and operation of the central servers, hosting of all office and email functions.
- Recordkeeping related to the activities listed above as per applicable regulations.

BECHTLE IT-SYSTEMHAUS subcontracts the below-mentioned services to the following two companies:

Interoute Managed Services Switzerland Sàrl, Meyrin, Switzerland:

- Hosting of Helvea's office functions main servers and access control to these servers.
- Maintenance and operation of an international secured WAN.

CSS Network Sàrl, Thônex, Switzerland:

- Hosting of the office functions recovery servers and access control to these servers.

- **RHONE-AUDIT SOCIETE FIDUCIAIRE S.A., GENEVA, SWITZERLAND (HELVEA SA)**
- **WINGRAVE YEATS PARTNERSHIP LLP, LONDON, ENGLAND (HELVEA LTD)**
- **RSM RICHTER CHAMBERLAND, MONTREAL, CANADA (HELVEA INC.)**

- Preparation of financial statements; computing taxes; day to day reconciliation of cash and trading accounts; payment of expenses; preparation of financial reports and assistance in preparing the financial and regulatory reports.

- **UNIPRO SA (HELVEA SA)**
- **PEOPLE LOGIC LTD. (HELVEA LTD)**
- **ADMINISTAFF, INC. (HELVEA INC.)**

- Salary, compensation and benefit processing and other human resources services.

If you have any questions regarding the above, please do not hesitate to contact our Chief Operating Officer at +41 (0)22 354 9057.