

## **INFORMATION ABOUT BANK AS A SECURITY BROKER AND OTHER INFORMATION UNDER THE SECURITIES ACT**

### **1. Business name and the registered seat**

Citibank Europe plc with its registered seat at 1 North Wall Quay, Dublin 1, Republic of Ireland, registered with the Companies Registration Office, registration number 132781, conducting its business activity in the Slovak Republic through Citibank Europe plc, pobočka zahraničnej banky with its registered seat at Mlynské nivy 43, 825 01 Bratislava, Slovak Republic, business number 36 861 260, registered with the Commercial Register of District Court Bratislava I, Section Po, Insert No. 1662/B (hereinafter only as the “**Bank**”)

### **2. Contact details**

Telephone: +421 2 58230451 (for custody services)  
+421 2 58230421 (for treasury products)

or please, contact your relationship manager.

website address: [www.citibank.sk](http://www.citibank.sk)

### **3. Licence to provide investment services**

The Bank is a branch office of a foreign bank with a registered office in a member country of the European Union located in the territory of the Slovak Republic, which performs banking activities and is entitled to provide investment services. The Bank is a holder of a banking licence issued in 2001 by the Central Bank of Ireland, now referred to as the Financial Services Authority of Ireland, the organizational structure of which also includes the relevant home state regulator of the Bank – the Irish Financial Services Regulatory Authority (Financial Regulator) – with its seat at: PO Box 559, Dame Street, Dublin 2, Ireland. Pursuant to the relevant regulations of the European Communities on the activities of credit institutions and investment firms and pursuant to the provision of sec. 11 of the Act 483/2001 Coll. (Banking Act, as later amended), the Bank established a branch in the territory of the Slovak Republic with the purpose of providing the respective banking and investment services. Provision of investment services by the Bank is subject to its home state supervisory authority, the Irish regulator (Financial Regulator) and to the host state supervisory authority, the National Bank of Slovakia (Národná banka Slovenska), particularly with respect to the conduct of business rules pursuant to the Act 566/2001 Coll. (Securities and Investment Services Act, as later amended - hereinafter referred to only as „**Securities Act**“). With respect to activities pursued in the territory of the Slovak Republic, the Bank does not currently engage any tied agents as defined in the Securities Act.

### **4. Communication**

In connection with the business relation to the Bank, the client may use the Slovak language. If the Bank shall agree with the client, the client may also use an English language in the particular cases. The form and terms for mutual communication may also be subject to special agreement between the Bank and the client. Save for the personal communication, the Bank usually communicate by means of electronic communication media (fax, e mail or other electronic media) or regular post.

Information may be provided by the Bank to the client in paper format or by the website of the Bank, in accordance with the conditions set forth in the respective agreement or the applicable laws.

## **5. Information about protection of financial instruments or funds entrusted to the Bank**

### **5.1 Safeguarding of Financial Instruments**

The Bank will use the same reasonable standard of care in safeguarding the client's financial instruments as it uses in safeguarding its own similar property. The Bank performs the safekeeping and custody of financial instruments on the basis of a separate custody agreement between the Bank and the client.

### **5.2 Segregation of Financial Instruments**

The Bank will segregate client's financial instruments from its own financial instruments and from financial instruments belonging to third parties. Funds belonging to clients shall be recorded by the Bank at the clients' current accounts maintained by the Bank in accordance with the current account agreements or in accordance with other respective agreements concluded between the Bank and the client.

Securities bought at the Slovak capital market are usually registered at the separate security account maintained by the Bank as the member of the Central depository of securities for the client. The Bank may also provide to the client services concerning the safekeeping of certificated securities on the basis of the separate custody agreement. Registration of securities bought at the Slovak capital market is governed by the applicable Slovak laws.

### **5.3 Segregation in other jurisdictions**

Where, due to the nature of the law or market practice of another jurisdiction, it is in the client's best interest to do so, or where it is not feasible to do otherwise, the Bank may also register client's financial instruments in its name or in the name of a third party. The Bank will only register the client's financial instruments in the name of another person where the business scope of that person includes the provision of custody services. In these circumstances, clients' financial instruments may be subject to the law of another jurisdiction (including jurisdictions outside European Union), will not be segregated and therefore the rights of the client relating to the those financial instruments or funds may differ accordingly.

## **6. Description of Conflicts of Interest Policy**

Under the Securities Act, the Bank is required to have arrangements in place to manage conflicts of interest between the Bank and its clients and between its individual clients. The Bank operates in accordance with a conflict of interests policy put in place for this purpose by the Bank under which it has identified those situations in which there may be a conflict of interests and, in each case, the steps it has taken to manage that conflict. A summary of the Bank's conflict of interests policy is available on the website of the Bank or can be obtained from the client's usual contact.

## **7. Information about execution venues**

The Bank shall usually apply the following execution venues to execute the client's orders:

Currency and interest derivatives:	Citibank Europe plc, pobočka zahraničnej banky
Shares:	Burza cenných papierov v Bratislave, a.s. (Bratislava Stock Exchange) Citibank Europe plc, pobočka zahraničnej banky
Bonds:	Burza cenných papierov v Bratislave, a.s. (Bratislava Stock Exchange) Citibank Europe plc, pobočka zahraničnej banky

## **8. Reporting to client**

The Bank will send to the client regular reports on the service it provides to the client in accordance with special agreement between the Bank and the client and will include in those reports the costs associated with the transactions and services it undertakes or provides for the client, including other information the Bank is required to report to the client pursuant to the applicable laws.

The Bank will send to the client a confirmation of each order executed for the client promptly after execution of such order. If the client is a professional client, the Bank will promptly send to it at least the essential information concerning execution of the order.

## **9. Information about costs and associated charges**

Costs and fees related to providing of investment services are set forth in the general price list of the Bank or in the respective contractual agreement concluded between the Bank and the client under which the Bank provides to the client the investment services (depending on the agreement with the client).

In connection with providing of investment services and dealing with financial instruments, there may also arise other costs including any applicable taxes, which are not paid through the Bank and therefore are not charged to the client by the Bank.