

INFORMATION ON THE SWISS FEDERAL LAW ON FINANCIAL SERVICES (LSFin)

Dukascopy Bank SA

www.dukascopy.com; call +41 (22) 799 48 88 for more information

Regulating authority: Autorité fédérale de surveillance des marchés financiers (FINMA), Berne, Switzerland ; call +41 31 327 98

The Federal Law on Financial Services (LSFin) and the related ordinance (Financial Services Ordinance, OSFin) came into force on January 1, 2020. The LSFin aims to strengthen customer protection and the reputation of the Swiss financial hub and to establish comparable conditions for the provision of financial services offered by different market players.

The LSFin introduces extensive information requirements not only for financial services and instruments, but also for the financial services provider itself. In this context, we would like to inform you that Dukascopy Bank is authorized to operate in Switzerland as a bank within the meaning of the Swiss Federal Act on Banks and Savings Banks (BA) and is subject to supervision by the Swiss Financial Market Supervisory Authority (FINMA).

Dukascopy Bank SA offers the following services:

- Receipt and transmission of orders for financial instruments ("execution only");
- Automated algorithmic trading;
- Foreign exchange order reception and transmission (Services non-subject to LSFin);
- Buying and selling, as well as subscribing, depositing and transferring crypto-assets;
- Wealth management services (LP PAMM)

This information sheet applies to execution only services provided by the Bank and specific obligations related services of wealth management provided by the Bank (LP PAMM) are addressed by separate internal and contractual documentation dedicated to this specific service.

Contact

You can contact Dukascopy Bank and its supervisory authority at the following addresses:

Dukascopy Bank SA

ICC, Route de Pré-Bois 20,
CH-1215 Geneva 15, Switzerland
Phone: +41 (22) 799 48 88

Swiss Financial Market Supervisory Authority - FINMA

Laupenstrasse 27
3003 Bern
Switzerland
Phone: +41 31 327 98 88

■ What does it mean for Dukascopy Bank clients

■ Intended retail investor

The LSFIn requires financial service providers to classify their customers in one of the following categories:

private client, professional client or institutional client.

Dukascopy Bank classifies its clientele as "private client" which allows its clients to benefit from enhanced protection as described below.

For further information, please contact our legal department at legal@dukascopy.com.

■ Assessment of appropriateness and suitability

As an "execution only" services provider, Dukascopy Bank will not perform any appropriateness and suitability assessment for its clients. This information about non-performance shall be provided on a unique basis to clients.

■ Information on financial instruments and risks

Transactions in financial instruments involve opportunities and risks that it is important to understand before investing any financial product. The brochure *Inherent risks in trading in financial instruments* presents the most important aspects of typical risks and more specific risks related to margin trading offered by the Bank are described in the *Brochure on special risks in margin trading*.

Depending on the type of service and the type of financial instrument, a key information document (KID) is made available to private customer. The KID contains information on the key features of the financial instrument, as well as its risks and costs.

Dukascopy Bank SA only proposes its own products for trading.

All abovementioned documents and information are available on Dukascopy's website:

<https://www.dukascopy.com/swiss/english/about/docs/>

■ Best Execution

Dukascopy Bank qualifies and operates only as a bilateral Organised Trading Facility (OTF) on its trading platforms. The document Best Execution Policy for trading accounts contains further information on the best possible execution of orders for financial instruments processed through its platforms. The Bank must execute clients' orders according to their express instructions pursuant to provisions provided for by the Article 21 Alinea 2 OSFin.

The Best Execution Policy is available in the Marketplace Trading conditions on Dukascopy's website:

<https://www.dukascopy.com/swiss/english/about/docs/>

■ Compensation from third parties

Dukascopy does not provide financial services affiliated with third parties. The Bank does not accept compensation from third parties in association with the provision of financial services.

Such compensation would consist of monetary and non-monetary benefits which the Bank may receive from other product providers in connection with financial services.

Complain

You may submit a complaint directly to Account Manager appointed to you or by sending an e-mail: legal@dukascopy.com. You may send hard-copy complaints to:

Dukascopy Bank SA, Head Office – ICC, Route de Pré-Bois 20, CH-1215 Geneva 15, Switzerland.

Any complaints will first be investigated by our Compliance/Legal Department and, if they are unable to resolve the dispute to your satisfaction by our Compliance/Legal Department. If the Compliance/Legal Department is unable to resolve the matter you may refer the matter to the Swiss Banking Ombudsman. If you would like more information on how complaints are handled, please contact our Trading Services Department.

The **Swiss Banking Ombudsman** can be contacted at:

Bahnhofplatz 9 P.O. Box 1818 CH-8021 Zurich

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