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| **COUNTRY: SWITZERLAND** |

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| **PROSPECTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Social Contact** | **Social interactions** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Provide contact details** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |

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| **EXISTING CLIENTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Social Contact** | **Social interactions** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Provide contact details** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |

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| **PROSPECTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Marketing GENERAL** | **BRAND MARKETING** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **General Marketing** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **General Marketing of Products** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **General Marketing of Services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |

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| **EXISTING CLIENTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Marketing GENERAL** | **BRAND MARKETING** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **General Marketing** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **General Marketing of Products** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **General Marketing of Services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |

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| **PROSPECTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Marketing of Specific Services** | **Banking relationship (cash and securities account)** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Advisory Mandates** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Discretionary Mandates** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Securities Lending** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Lending** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| **Credit Cards** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| **Corporate Finance Advisory Services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Wealth services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |

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| **EXISTING CLIENTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Marketing of Specific Services** | **Banking relationship (cash and securities account)** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Advisory Mandates** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Discretionary Mandates** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Securities Lending** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Lending** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| **Credit Cards** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| **Corporate Finance Advisory Services** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Wealth services** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |

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| **PRE-CONDITION FOR RELYING ON PREPARATORY ADMINISTRATIVE ACTIVITIES**  Any activity below subject to “YES” shall only be conducted:  1) if the condition(s) for the marketing of the relevant service(s) is (are) met **OR**  2) when the activity is necessary to update the documents and information relating to existing clients | | | | | | |
| **PROSPECTS** | | | | | | |
| **GROUP** | **ACTIVITY** | **SUBACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Preparatory administrative activities** | **Provide forms and contractual documents** | **Account opening contracts including related forms** | Retail | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| Professionals | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| **Advisory and discretionary mandates including related forms** | Retail | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| Professionals | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| **Loan agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Credit card agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Other contracts and forms (securities lending, wealth management services and other types of contract)** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| * **Explain account opening process and provide assistance for completion of documents and account opening settings** * **Obtain KYC information, including subsequent updates** * **Receive forms and contractual documents** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 1-3, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 4, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |

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| **PRE-CONDITION FOR RELYING ON PREPARATORY ADMINISTRATIVE ACTIVITIES**  Any activity below subject to “YES” shall only be conducted:  1) if the condition(s) for the marketing of the relevant service(s) is (are) met **OR**  2) when the activity is necessary to update the documents and information relating to existing clients | | | | | | |
| **EXISTING CLIENTS** | | | | | | |
| **GROUP** | **ACTIVITY** | **SUBACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Preparatory administrative activities** | **Provide forms and contractual documents** | **Account opening contracts including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Advisory and discretionary mandates including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Loan agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Credit card agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Other contracts and forms (securities lending, wealth management services and other types of contract)** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| * **Explain account opening process and provide assistance for completion of documents and account opening settings** * **Obtain KYC information, including subsequent updates** * **Receive forms and contractual documents** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 1-3, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 4, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |

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| **PROSPECTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Performance of activities** | **Generic Market Views** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Sector research and financial research** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Marketing of Products** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Macroeconomic research** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Market Updates/Outlook (pure factual information)** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Corporate Finance Advisory Services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Wealth Services** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |

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| **EXISTING CLIENTS** | | | | | | |
| **GROUP** | **ACTIVITY** | **CONTRACTUAL SETUP** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Performance of activities** | **Investment advice** | **with advisory mandate**  **with RSSI** | Retail | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| **without advisory mandate** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| **Marketing of financial instruments** | **with advisory mandate**  **with RSSI** | Retail | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| **without advisory mandate** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Generic Market Views** | **with advisory mandate**  **with RSSI** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **without advisory mandate** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Sector research and financial research** | **with advisory mandate**  **with RSSI** | Retail | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| **without advisory mandate** | Retail | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **NO** | **NO** |
| Upon RS | **YES** | **YES** |
| **Macroeconomic research** | **with advisory mandate**  **with RSSI** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **without advisory mandate** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Market Updates/Outlook (pure factual information)** | **with advisory mandate**  **with RSSI**  **with discretionary mandate** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **without advisory mandate** | Retail | Pro-actively | **?** | **?** |
| Upon RS | **?** | **?** |
| Professionals | Pro-actively | **?** | **?** |
| Upon RS | **?** | **?** |
| **Porftolio Review & Risk Review** | **with advisory mandate**  **with RSSI**  **with discretionary mandate** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **without advisory mandate** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Execute client instructions** | | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Corporate Finance Advisory Services** | | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| **Wealth Services** | | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |

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| **EXISTING CLIENTS** | | | | | |
| **GROUP** | **ACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Follow-up administrative tasks** | * **Corporate actions** * **Account closure** | Retail | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| Professionals | Pro-actively | **YES** | **YES** |
| Upon RS | **YES** | **YES** |
| * **Provide account statements, investment reports and trade confirmations** | Retail | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |
| Professionals | Pro-actively | **YES** | **NO** |
| Upon RS | **YES** | **NO** |