

**Swissquote**

**Financial Services (Malta) Ltd**

**Your preferred Custody partner**



[swissquote.com/malta](https://swissquote.com/malta)

 **Swissquote**



## Welcome to Swissquote

Always at the forefront of technological innovation, Swissquote has acquired a reputation as a pioneer in internet banking. But not only. Today, our services extend from global trading services to sophisticated robo-advisor investment tools. In addition to our extensive suite of digital banking services for retail clients, we provide tailored solutions for our partners, such as specialised Custody/Depository services, Asset Manager tools and White Label services.

Answering the demand of our institutional clients looking for comprehensive and cost-effective fund custody, we built upon our extensive experience in Switzerland to expand this service internationally. Malta was a natural choice to develop our international Custody/Depository business segment, having established itself as a robust European financial service centre benefiting from a high level of protection and regulation.

Our long-standing global custody network relationship with Deutsche Bank, UBS and Euroclear further enhances our global market reach and confirms our stability. The expert team behind Swissquote Financial Services (Malta) Ltd provides you with competent services and tools ensuring compliance with your regulatory obligations, allowing you to concentrate on your core business, with absolute peace of mind.

We look forward to discussing how we can put our resources at your service to meet your global custody needs and make your business a success.

A handwritten signature in black ink, appearing to read 'M. Bürki'.

Marc Bürki  
CEO, Swissquote Group

# About Swissquote

Swissquote Group is a leading provider of financial services and online trading and is listed on the SIX Swiss Exchange (SQN).

**300,000+**  
clients

**60+**  
stock markets

**40+**  
countries

Swissquote Group was established in 1996. Its arrival heralded a minor revolution: from this point on Swissquote clients were able to view all prices on the Swiss stock exchange in real time – something that had previously been the exclusive domain of a handful of specialists. Before long clients were also able to trade securities from home via their computers. A new type of banking had been born. Additional services were added over time. Since 2000, Swissquote has itself been listed on the stock exchange, and in 2001 Swissquote was awarded a Swiss banking licence and a trading licence. Just over a decade on Swissquote has established itself as the bank of a new generation.

Swissquote Bank Ltd, a subsidiary of Swissquote Group, holds the banking licence and is supervised by the Swiss Financial Market Supervisory Authority

(FINMA) and is a member of the Swiss Bankers Association. Swissquote Financial Services (Malta) Ltd, also a subsidiary of Swissquote Group, holds Category 2 and 4A licenses and is supervised by the Malta Financial Services Authority (MFSA).

In addition to offering innovative solutions and comprehensive services for more than 300,000 clients, Swissquote provides Asset Managers with the ability to trade on more than 60 stock markets in over 40 countries in equities, funds, options, warrants, forex, fixed income, off-exchange trading in derivatives, as well as specialised Depositary services to international funds.

Swissquote Group has its headquarters in Gland (Switzerland) and offices in Zurich, Bern, Dubai, Malta, London and Hong Kong.

# Swissquote Financial Services (Malta) Ltd

A direct subsidiary of Swissquote Group.

Swissquote Group established its operations in Malta in 2012 through its subsidiary Swissquote Europe Ltd and obtained a Category 3 licence under the Investment Services Act to begin offering FX Trading services throughout Europe.

In 2014, the Category 3 licence was surrendered in favour of an upgrade to a Category 4A licence in order to offer a full Depository/Custody Service under Swissquote Financial Services (Malta) Ltd (formerly Swissquote Europe Ltd).

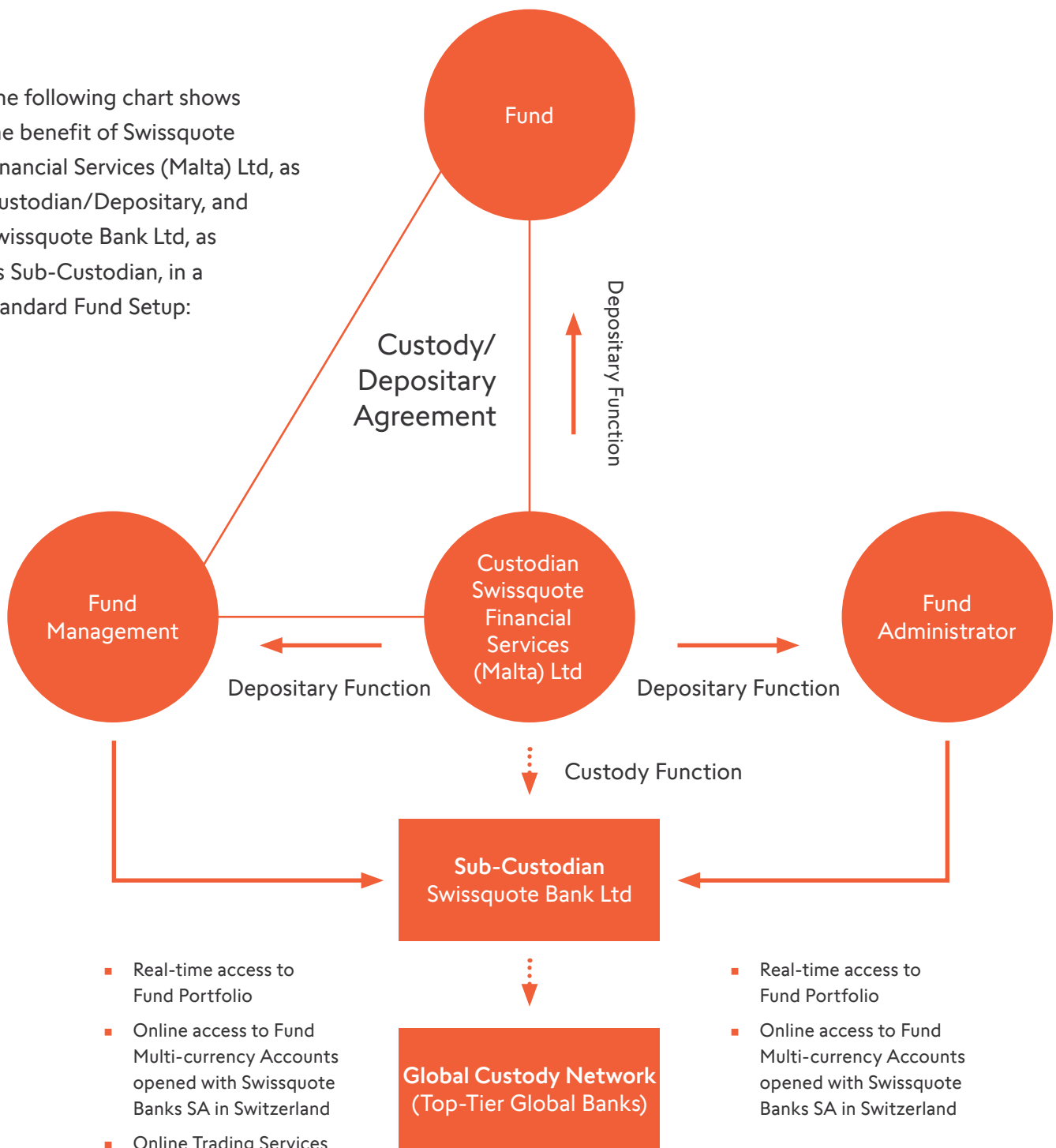
In 2017, Swissquote Financial Services (Malta) Ltd was granted an additional licence (Category 2) by the MFSA to offer trading services.

Today, Swissquote Financial Services (Malta) Ltd is positioned as a leader in the provision of Depository, Custody and Trading Services.



# Swissquote Value Chain

The following chart shows the benefit of Swissquote Financial Services (Malta) Ltd, as Custodian/Depository, and Swissquote Bank Ltd, as its Sub-Custodian, in a standard Fund Setup:



# A Convincing Service Proposition

Our AIFMD, UCITS V and PIF compliant  
Depository and Custody Services include:

## Safekeeping of Instruments:

- Under custody with Swissquote Bank Ltd as sub-custodian to Swissquote Financial Services (Malta) Ltd
- Under custody with any client requested top-tier global sub-custodian

## Safekeeping: Other Assets

- Record keeping and verification of ownership

Multi-currency Cash account and Securities account opened with Swissquote Bank Ltd

## Cash flow monitoring:

- Maintaining a list of all bank accounts held by the Fund
- Monitoring of cash movements on Funds' accounts
- Ensuring that cash payments in relation to subscriptions and redemptions have been received or paid and correctly booked
- A daily reconciliation process of all the cash movements on Fund accounts or each time a movement is performed

## Asset servicing

Online platform providing high level, as well as detailed information covering, amongst others, asset portfolio and positions, cash balances in multiple currencies, performance evaluation, asset and currency allocation, together with a variety of downloadable documents in PDF and CSV, including:

- Statement of assets
- Statement of account
- Transaction reports (purchases, sales number prices, trading and transaction costs, etc.)

## General oversight ensuring compliance with regulatory and fund mandates:

- Verification of NAV calculations
- Monitoring of investment, borrowing and leverage restrictions
- Monitoring of sale, issue, repurchase, redemption and cancellation of shares
- Monitoring of income

Additional Swissquote Group services on request.

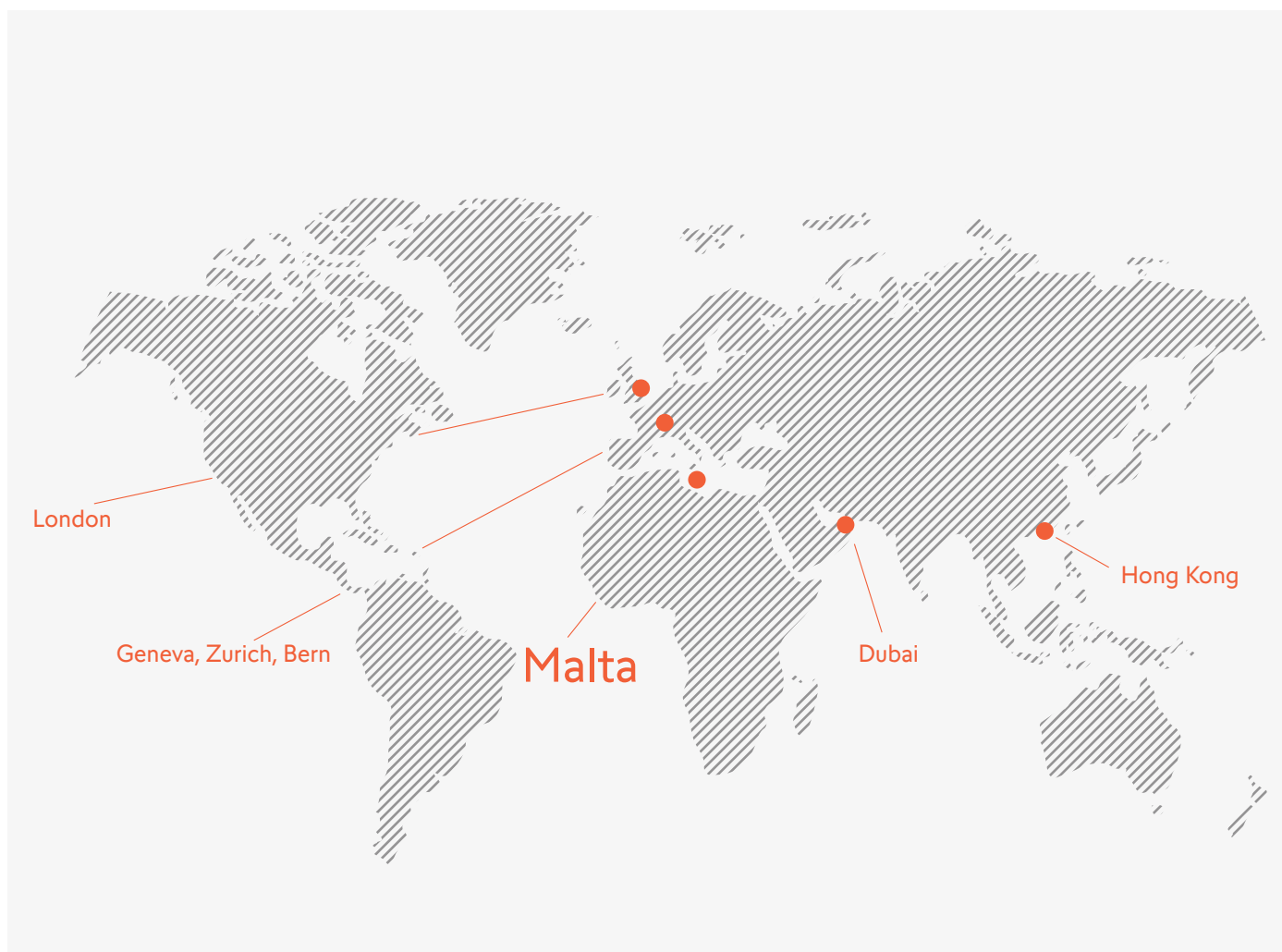


# International Service Coverage

Swissquote Group Holding Ltd is a publicly listed company with assets under custody of approximately CHF 21.2 Billion.\*

Based in Switzerland, with branches in the UK, Asia and the United Arab Emirates, and offering

Depository services in and from Malta, the Swissquote Group is very well placed and understands the unique needs of its local and international clients including banks, insurance companies, industrial and commercial companies, pension funds, investment companies and asset managers.



\*as at 30 June 2017

# Funds domiciled in Malta and governed under EU law

UCITs, AIFs and PIFs domiciled in Malta can partner with Swissquote Financial Services (Malta) Ltd and Swissquote Bank Ltd, an experienced depository partner with a global reach.

Swissquote Financial Services (Malta) Ltd is able to deliver its depository and custody services from Malta, and is positioned to provide Fund Managers with global market reach through its long-standing Global Custody Network relationship with Deutsche Bank, UBS and Euroclear.

Through our extensive network, we also facilitate introductions to legal, fund administration, audit professionals and platforms.



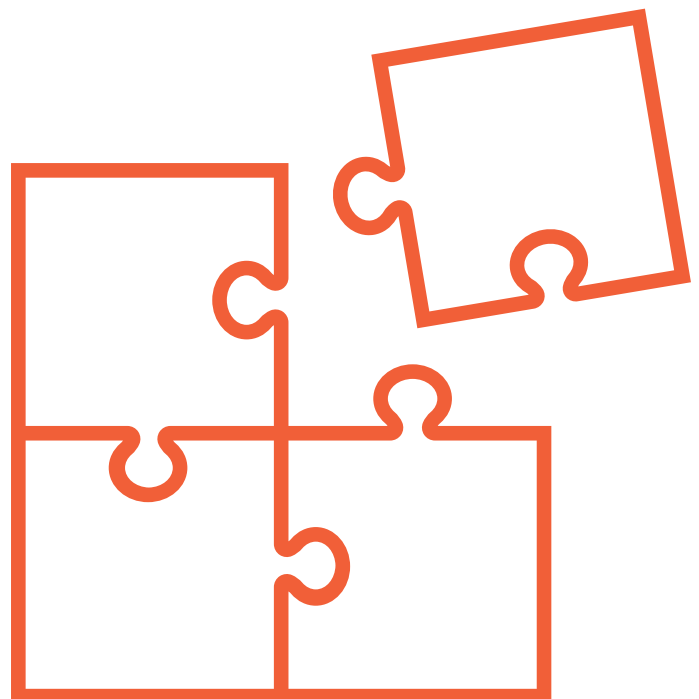


# A complete Range of Custodial and Depositary Services

Swissquote Financial Services (Malta) Ltd is able to provide depositary services to various:

- **Fund structures**, such as:  
UCITS, AIFs, NAIFs, PIFs and Offshore Funds
- **Investment strategies**, such as:  
traditional funds, hedge funds, private equity funds, real estate funds, fund of funds, special situation funds, FX funds, index tracking funds
- **Asset classes**, such as:  
traditional investments (equity, fixed income, derivatives, funds, etc.), alternative investments, precious metals and commodities

As depositary, Swissquote Financial Services (Malta) Ltd also ensures, to the extent and in the manner prescribed by the applicable regulatory provisions, that the fund adheres to all the regulatory obligations, the prospectus and articles.



# Your competitive Advantage

Malta, as a leading financial services jurisdiction, boasts a robust legislative and regulatory framework and holds multi-year accolades as the best European Fund Domicile by Hedge Fund Review. By combining the flexibility and soundness of the Maltese financial system, the security and stability of a Swiss bank providing sub-custody, online brokerage services and an extensive Top-Tier Global Custody Network, Swissquote presents you with a clear competitive advantage.

Ease of access to the European investor landscape and global financial markets paired with the solidity and reliability of a Swiss banking group.

- Business friendly Maltese financial authorities
- Turnkey fund service provider from ignition to daily operations
- Complete range of Custodial and Depositary services for funds domiciled in Malta or Offshore
- Personal relationship managers specialized to guide you through requirements of fund management companies in Malta
- Swissquote Financial Services (Malta) Ltd provides you with extensive and up-to-date know-how.

**Andrew Zarb Mizzi**  
Chief Executive Officer

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Swissquote Financial Services (Malta) Ltd

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