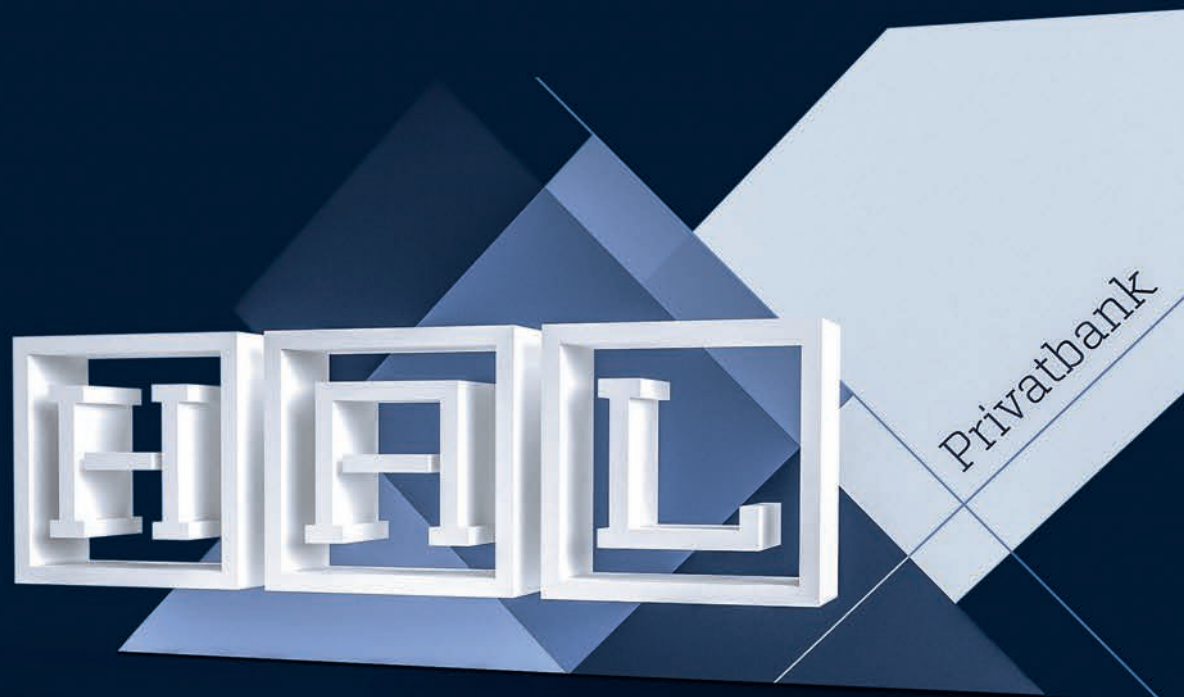


HAUCK  
AUFHÄUSER  
LAMPE

An abstract graphic in shades of blue and white. It features three interlocking gears of different sizes in the foreground. Behind the gears are several overlapping geometric shapes, including triangles and polygons, some of which contain white line patterns resembling circuit boards or technical drawings. The overall composition is dynamic and technical.

# ASSET SERVICING

# HOME FOR ASSETS



Hauck Aufhäuser Lampe emerged from three equally traditional banking houses. Today, we are together one of Germany's leading private banks with over 225 years of tradition.

Top priority is given to a holistic individual advisory approach, asset management for private and corporate clients, asset management for institutional investors, at the same time, providing comprehensive fund services for financial and real assets in Germany, Luxembourg and Ireland as well as cooperation with independent investment managers.

In addition, HAUCK AUFHÄUSER LAMPE offers research, sales and trading activities specializing in small and mid-cap companies in German-speaking countries as well as individual services for IPOs, further assisting you to reach your investment goal and capital growth.



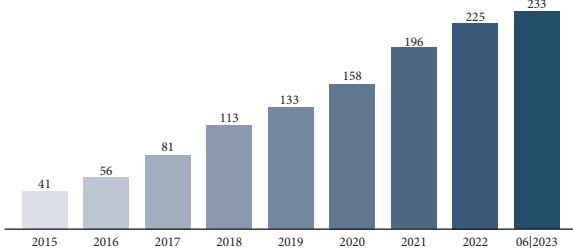
## Our Asset Servicing

YOUR PARTNER IN FUND BUSINESS

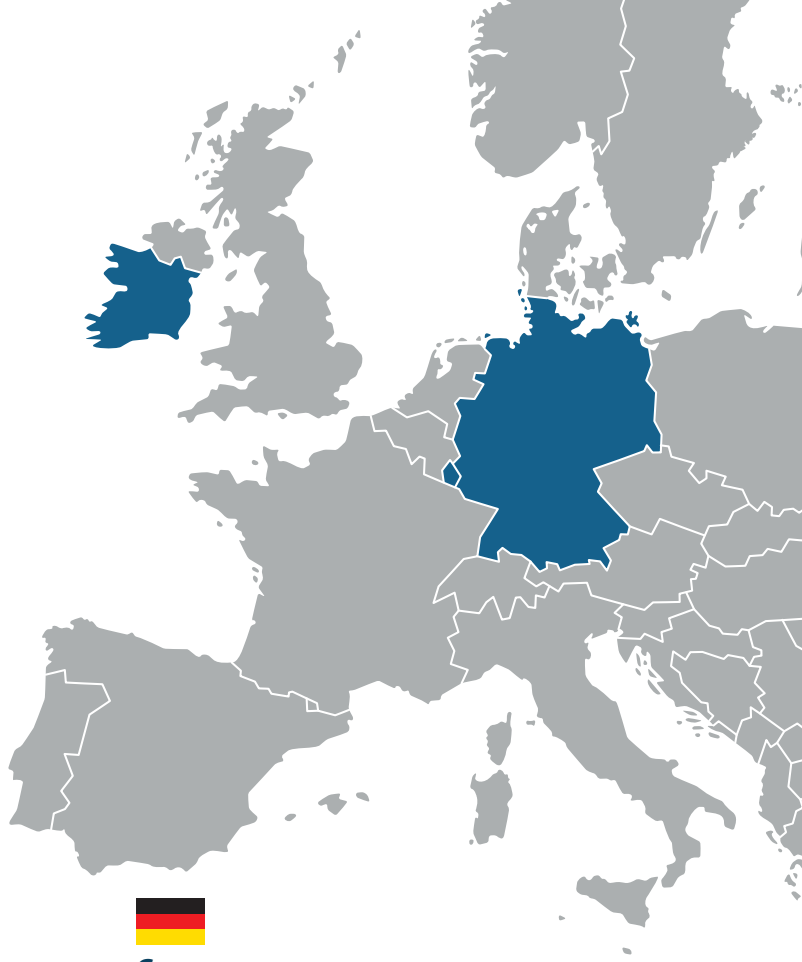
In the Asset Servicing division, we offer all services related to the management, custody and administration of investment products for independent investment managers, financial service providers, institutional investors and asset managers with a focus on Germany, Luxembourg, Switzerland, Austria, Ireland and further covered jurisdictions. The asset classes range from financial assets, real assets to digital assets.

New ideas, new perspectives, new challenges in the investment fund sector compels you and us to react. We support you with a holistic consulting approach, customized service offerings and competent employees. We offer you the possibility of product development as well as tailor-made solutions for complex needs. At our three locations in Germany, Luxembourg and Ireland, you can benefit from an excellent network of first-class financial experts, lawyers and auditors.

Development of our Assets under Service in bn €



Increase in AuS in five years by around 144 billion.



Germany

CMC (1) | AIFM (1)

**Fund administrator**  
for financial and real assets (2)

**Depository**  
for financial, real and digital assets



Luxembourg

CMC | AIFM

**Fund administrator**  
for financial and real assets

**Depository**  
for financial and real assets



Ireland

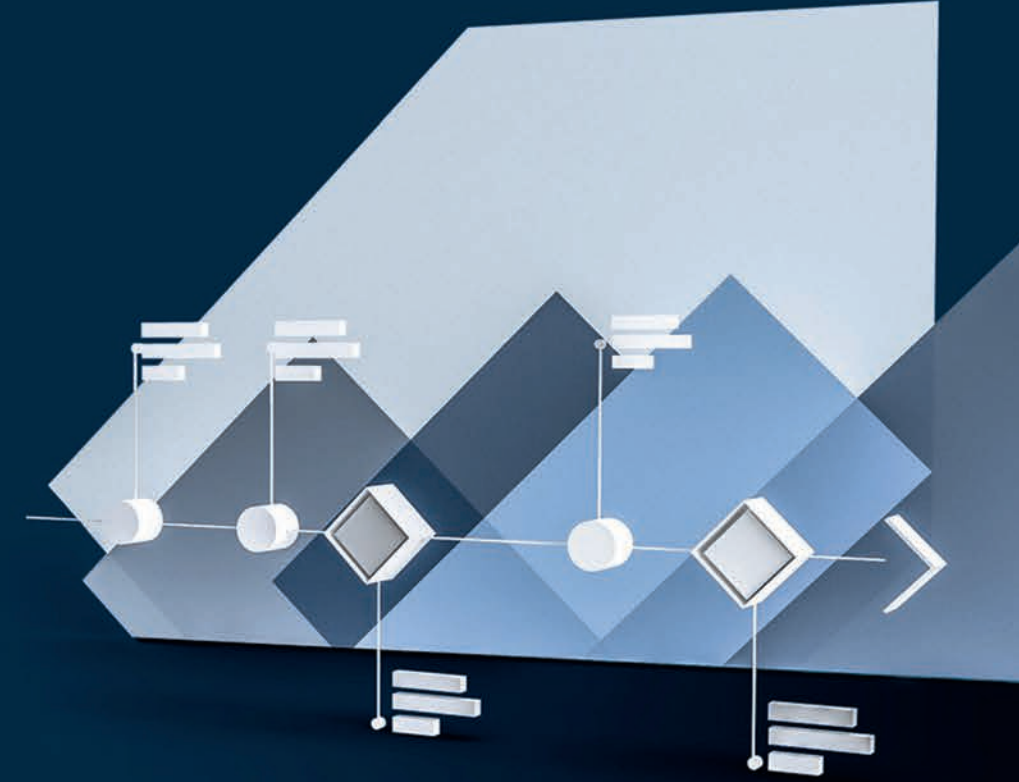
CMC | AIFM

**Fund administrator**  
for financial and real assets (2)

**Depository**  
for financial and real assets(2)

(1) For financial and real assets via cooperation partners in Germany | for digital assets via in-house CMC  
(2) via cooperation partners

# Over 50 years asset servicing experience



## OUR SERVICES FOR Real Assets



In the field of Real Assets we offer a broad range of services to institutional clients in Germany, Luxembourg and Ireland.

### Alternative Investment Fund Manager (AIFM) Luxembourg

Our Luxembourg companies Hauck & Aufhäuser Fund Services S.A. and Hauck & Aufhäuser Alternative Investment Services S.A. work hand in hand to offer you comprehensive solutions in the regulated and unregulated area. Together with our Luxembourg bank branch, we form an authorized AIFM with the possibility to connect central administration and/or depositary service within the group. Our range of services includes portfolio and risk management, valuation/assessment, outsourcing monitoring and oversight distribution and the Full Compliant AIFM service.

### Depositary for AIFs in Germany and Luxembourg

Our expertise enables us to provide maximum professional and individual support for your AIFs. As a depositary, we ensure that investors' interests are safeguarded and protect your capital from third-party access. For the protection of the investors, we undertake the technical processing, the safekeeping of the investment assets as well as various control functions.

### Central Administrator / Professional of the Financial Sector (PFS) Luxembourg

As a Professional of the Financial Sector (PFS) in Luxembourg, we offer you all corporate and accounting services for the administration of alternative investment strategies. With our independent service company Hauck & Aufhäuser Alternative Investment Services S.A., you receive all services from a single source. This includes reporting options for initiators and investors (including capital account management) with a high degree of individuality and expertise.

### Alternative Investment Fund Managers (AIFM) Ireland

HAL Fund Services Ireland (HALFI) is a fully authorized UCITS management company and alternative investment fund manager (AIFM) authorized and regulated by the Central Bank of Ireland. As recognized experts in real asset investments such as private equity and real estate, we help investors and initiators in Ireland to launch a regulated European investment structure in the form of an alternative investment fund (AIF), either as a stand-alone structure or as a sub-fund on a platform.

## OUR SERVICES FOR Financial Assets



Hauck Aufhäuser Lampe has more than several decades of experience in the conception, administration and custody of liquid fund products. Our core competence is the successful implementation of individual investment strategies on the market. Take advantage of this expertise in regulatory frameworks, cost structures or sales support and concentrate on your core competencies: portfolio and customer management

### CMC and fund administration Luxembourg

With our capital management company (CMC) Hauck & Aufhäuser Fund Services S.A. in Luxembourg, we offer you a holistic service, starting with consulting and conception of your product idea, through the approval and launch process, to fund management and fundoversight. You receive all solutions from a single source. From our Luxembourg depositary as well as CMC, we can guarantee complete coverage of the full life cycle of the fund products in the Luxembourg financial center - and with success: According to the reputable PwC ManCo Barometer poster, we are one of the five largest third-party Management Companies in Luxembourg.

### UCITS capital management company Ireland

HAL Fund Services Ireland (HALFI) is a fully authorized UCITS management company and alternative investment fund manager (AIFM) authorized and regulated by the Central Bank of Ireland. As a European fund management company, we can launch UCITS funds for you in Ireland either as a standalone structure or in a hosted ICAV platform.

### Depositary for Financial Assets in Germany and Luxembourg

With decades of experience, we offer all services related to the depositary function. We support you from the initial idea to advice on the conception and launch process - and of course afterwards throughout the entire product life cycle. In this way, we work individually and reliably for more than 500 funds in Germany and Luxembourg.



OUR SERVICES FOR

# Digital Assets

In the newly established Digital Assets division, we bundle all activities for the development and expansion of the range of products and services related to digital assets.

**Capital management company for digital assets**

With Hauck & Aufhäuser Innovative Capital Kapitalverwaltungsgesellschaft mbH (HAIC), we established a registered capital management company (CMC) for crypto assets and digital assets in 2020. As an AIF capital management company in Germany with BaFin authorization, HAIC offers all activities for the establishment and expansion of the product and service spectrum around native digital assets in established fund structures.

**Custody of crypto assets**

With the acquisition of Kapilendo Custodian AG in 2021, one of the first crypto custodians with permission to hold crypto assets, belongs to our group. Through its in-house custodian, the bank offers services in the regulated custody of cryptocurrencies, tokens, crypto securities and crypto fund shares.

**Crypto securities registry**

We were one of the first traditional financial institutions to receive preliminary permission from the German Federal Financial Supervisory Authority to start crypto securities registry business. This allows us to maintain crypto securities and crypto fund units in the crypto securities register for other issuers.

# OUR ASSET SERVICING AT A GLANCE

232,6 bil. EUR  
Assets under Service

52,9  
bil. EUR  
Financial Assets under Service

179,6  
bil. EUR  
Real Assets under Service

>1.000  
managed  
Funds

>300  
connected Asset  
Manager

467  
employees  
(FTE)

4  
locations

Status June 30, 2023

## Additional Services

With special additional services, we offer a wide range of supplementary services for the success of our customers.

- **Bridge financing**  
Short-term pre- or interim financing until the final follow-up financing.
- **Cross Asset Execution**  
Transaction execution for equities, ETFs and exchange-traded derivatives with more than 20 years of experience.
- **Fixed Income Sales Trading**  
Trading of all major fixed income market segments with access to the primary and secondary markets.
- **Fund trading & pooling**  
Access to a wide range of domestic and overseas mutual funds as well as hedge funds and hedge fund certificates and ETFs.
- **FX-Trading / FX Overlay Management**  
Access to a network of global liquidity providers and FX execution.
- **Sales support**  
Support for client sales activities, such as via web seminars, roadshows, social media and events.
- **Securities Lending**  
Participation for institutional clients and their special assets in the earnings opportunities of the securities lending market.
- **Collateral Management**

## CONTACT PERSONS

### Business Development

Marc Kriegsmann  
Head of Business Development Asset Servicing  
+352 45 13 14-440  
marc.kriegsmann@hal-privatbank.com

### Financial Assets

Anja Schlick  
Head of Relationship Management Financial Assets  
+49 89 23 93-2165  
anja.schlick@hal-privatbank.com

### Real Assets

Christoph Kraiker  
Head of Relationship Management Real Assets  
+352 45 13 14-510  
christoph.kraiker@hal-privatbank.com

### Digital Assets

Simon Seiter  
Head of Digital Assets  
+49 69 21 61-1183  
simon.seiter@hal-privatbank.com



<https://www.hal-privatbank.com/en/asset-servicing>



**HAUCK AUFHÄUSER ASSET SERVICING**  
**FONDTRENDS.LU**

Hauck Aufhäuser Lampe Privatbank AG  
Kaiserstraße 24  
60311 Frankfurt am Main  
Germany

Phone: +49 69 2161-0  
E-Mail: [info@hal-privatbank.com](mailto:info@hal-privatbank.com)

Hauck Aufhäuser Lampe Privatbank AG  
1c, rue Gabriel Lippmann  
5365 Munsbach  
Luxemburg

Phone: +352 45 1314-0  
E-Mail: [info@hal-privatbank.com](mailto:info@hal-privatbank.com)

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