



# Addendum to the EMEA Regulatory Information Document

## FOR SWISS CLIENTS

The EMEA Regulatory Information Document (“Information Document”) to which this Addendum for Swiss clients relates is available at this link: <https://www.bnymellon.com/emea/en/regulatory-information.html>

In this Addendum, the term “BNYM”, refers to any one (or all, as the context requires) of the BNYM companies and branches identified from time to time in the Information Document.

### **BNYM Status**

Details of the relevant BNYM entity, including how that entity is authorised and regulated, and details of the services provided, are included in the relevant agreement(s) entered into with the relevant BNYM entity.

### **Ombudsman**

Swiss opted-out professional clients and retail clients have the option to initiate mediation proceedings before an independent Ombudsman to seek to settle any legal disputes with the relevant BNYM entity. Details of the relevant BNYM entity’s Ombudsman may be obtained from your usual BNYM contact.

### **Risks & Costs**

Any risks associated with the financial services or financial instruments, and the costs of such services and/or products, shall be as specified in the Information Document, the relevant agreement(s) entered into with the relevant BNYM entity, any relevant documents (e.g., statements and invoices) made available by the relevant BNYM entity and/or offering documents.

### **Conflict of Interest - Affiliations with Third Parties**

Information on business affiliations with third parties (including other entities of the BNYM group) in connection with the financial services provided, insofar as these affiliations may give rise to conflicts of interests, are contained in the relevant agreement(s) entered into with the relevant BNYM entity and any relevant documents made available by the relevant BNYM entity, which will cover (i) the circumstances giving rise to the conflict of interest; (ii) the risks which the client faces as a result; and (iii) the precautions taken by the relevant BNYM entity to reduce such risks.