

# Hamburger Sparkasse AG

## Anlage Unterverwahrung

zum

### Informationsdokument nach § 307 Abs. 1 Nr. 10 KAGB

#### 1. Unterverwahrung nach § 82 KAGB

##### 1.1 Darstellung

Die Hamburger Sparkasse AG als Verwahrstelle für Alternative Investmentfonds (AIF) nimmt für die Verwahrung der Wertpapiere der AIF die Dienstleistungen der Deutsche Wertpapier Service Bank AG, Frankfurt in Anspruch. Diese verwahrt die Wertpapiere über die deutschen Wertpapiersammelbank Clearstream Banking AG, Frankfurt. Für ausländische Wertpapiere bedient sich die Clearstream Banking AG wiederum der Dienstleistungen der Clearstream Banking S.A., Luxembourg und deren Lagerstellennetzwerk. Das bei Auflage des AIF aktuelle Lagerstellennetzwerk ist im Folgenden dargestellt. Es kann sich allerdings jederzeit ändern. Gegebenenfalls werden auch nicht sämtliche dieser Lagerstellen für den AIF genutzt.

Die Unterverwahrung von Anteilen an Investmentfonds, die aufgrund der Emissionsbedingungen ausschließlich bei den benannten Registraren im Anteilregister geführt werden können, erfolgt bei diesen Registraren, soweit die Hamburger Sparkasse in das Register eingetragen wird.

##### 1.2 Lagerstellennetzwerk der Clearstream Banking AG

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Argentina		ARGENTINA	direct		Caja de Valores S.A.;
Armenia		ARMENIA	direct		Central Depository of Armenia
Australia	BNP Paribas Australia Branch	AUSTRALIA	indirect		Austraclear for unlisted debt securities AND CHESS (Clearing House Electronic Subregister System) for ASX-listed securities; DTC (Depository Trust Company), New York
Austria	Erste Group Bank AG (account operator)	AUSTRIA	direct operated		OeKB Oesterreichische Kontrollbank Aktiengesellschaft
Austria	OeKB Oesterreichische Kontrollbank Aktiengesellschaft	AUSTRIA	CBF - direct		OeKB Oesterreichische Kontrollbank Aktiengesellschaft

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Belgium	BNP Paribas Securities Services	BELGIUM	direct operated		Euroclear Belgium; National Bank of Belgium
Belgium	KBC Securities, Brussels (account operator)	BELGIUM	direct operated		Banque Nationale de Belgique
Belgium	N/A	BELGIUM	CBF - direct		Euroclear Belgium
Belgium	KBC Securities, Brussels (account operator)	BELGIUM	Indirect		Several transfer agents
Bulgaria - BNB	Eurobank Bulgaria AD	BULGARIA	direct		ESROT system managed by Bulgarian National Bank BNB
Bulgaria - CDAD	Eurobank Bulgaria AD	BULGARIA	indirect		Central Depository AD
Canada	Royal Bank of Canada	CANADA	indirect		The Canadian Depository for Securities
China (Hong Kong)	Citibank, N.A.	CHINA (HONG KONG)	indirect		CCASS Hong Kong Securities Clearing Company Limited; HKMA Hong Kong Monetary Authority
China (Shanghai)	HSBC Bank (China) Company Limited	CHINA (SHANGHAI)	out of network		China Securities Depository and Clearing Corporation (CSDCC) China Central Depository and Clearing Corporation Ltd (CCDC); Shanghai Clearing House (SCH)
Croatia	Erste Group Bank AG	AUSTRIA	indirect	Erste Group Bank AG Croatia	Central Depository & Clearing Company Inc. (CDCC)
Cyprus	Citibank Europe Plc Greece branch	CYPRUS	indirect		Central Depository and Central Registry (CDCR)
Czech republic - for CSD securities	UniCredit Bank Czech Republic a.s.	CZECH REPUBLIC	direct operated		Central Securities Depository Prague
Czech Republic- CNB securities	UniCredit Bank Czech Republic a.s.	CZECH REPUBLIC	indirect		Czech National Bank (CNB)
Denmark	N/A	DENMARK	CBF - direct		VP Securities A/S

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Dubai	Deutsche Bank AG	DUBAI	indirect		NASDAQ Dubai Ltd
Estonia	Clearstream Banking AG	GERMANY	direct		Nasdaq CSD SE (Estonian branch)
Finland	Citibank Europe Plc.	FINLAND	direct		Euroclear Finland Ltd
France	BNP Paribas Securities Services	FRANCE	direct operated		Euroclear France
France	BNP Paribas Securities Services	FRANCE	Indirect		Euroclear France (non T2S)
France	BP2S	FRANCE	CBF - direct		Euroclear France
Germany	Clearstream Banking Frankfurt	GERMANY	direct		Clearstream Banking Frankfurt
Georgia	Bank of Georgia	GEORGIA	indirect		National Bank of Georgia
Georgia	Bank of Georgia	GEORGIA	indirect		Georgian Central Securities Depository
Greece	Clearstream Banking AG, Frankfurt	GREECE	direct		System For Monitoring Transactions In Book- entry Securities managed by Bank of Greece (BOGS)
Greece	Citibank Europe plc, Greece branch	GREECE	indirect		Hellenic Central Securities Depository (ATHEXCSD)
Hungary	Raiffeisen Bank International AG (account operator)	AUSTRIA	direct operated		KELER Central Clearing House and Depoistory (Budapest) Ltd.
Iceland	LuxCSD	LUXEMBOUR G	direct		Nasdaq verðbréfamiðstöð hf. (Nasdaq CSD Iceland - INCSD)
Indonesia	Citibank N.A., Jakarta Branch	INDONESIA	indirect		KSEI - P.T. Kustodian Sentral Efek Indonesia; Bank Indonesia
Ireland	Citibank N.A.	IRELAND	indirect		Euroclear UK and Ireland Ltd (EUI)
Israel	Citibank N.A., Tel Aviv branch	ISRAEL	indirect		TASE-CH - Tel Aviv Stock Exchange Clearing House Ltd
Italy	Intesa SanPaolo	ITALY	direct operated		Monte Titoli
Italy	Clearstream Banking AG, Frankfurt	ITALY	direct		Monte Titoli

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Japan	The Hongkong and Shanghai Banking Corp. Limited	JAPAN	indirect		Japan Securities Depository Center, Inc.; Bank of Japan; Depository Trust Company (DTC), New York
Kazakhstan	Citibank Kazakhstan Joint Stock Company	KAZAKHSTAN	indirect		Central Securities Depository Joint Stock Company
Latvia	Clearstream Banking AG	GERMANY	direct		Nasdaq CSD SE
Lithuania	Clearstream Banking AG	GERMANY	direct		Nasdaq CSD SE (branch in Lithuania)
Luxembourg - LuxCSD	LuxCSD SA		direct		LuxCSD SA
Malaysia	HSBC Bank Malaysia Berhad	MALAYSIA	indirect		Bursa Malaysia Depository Sdn. Bhd.; Bank Negara Malaysia (MyClear)
Malta	Clearstream Banking AG	GERMANY	indirect		Malta Stock Exchange plc (MSE)
Mexico	Banco Nacional de México S.A. Integrante del Grupo Financiero Banamex ("Citibanamex")	MEXICO	indirect		SD INDEVAL INSTITUCIÓN PARA EL DEPOSITO DE VALORES SA DE CV
Netherlands, The	BP2S PARIS, France	FRANCE	direct operated		Euroclear Nederland
Netherlands, The	N/A	THE NETHERLANDS	CBF - direct		Euroclear Nederland
New Zealand	BNP Paribas Australia Branch	NEW ZEALAND	indirect		New Zealand Central Securities Depository
Norway	Citibank Europe Plc	NORWAY	direct		Verdipapircentralen ASA (VPS ASA)
Philippines	Standard Chartered Bank, Philippines	PHILIPPINES	indirect		Equities - Philippine Deposit and Trust Corporation (PDTC) government bonds and treasury bills - Bureau of the Treasury (BTR)

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Poland	Bank Handlowy	POLAND	indirect		National Depository for Securities (KDPW) for Securities; NBP National Bank of Poland
Poland	Bank Handlowy	POLAND	Direct		KDPW
Portugal	BNP Paribas Securities Services	FRANCE	direct		Centralizados de Valores Mobiliários, S.A.
Romania	BRD Groupe Soci�t� G�n�rale S.A	ROMANIA	direct operated		National Bank of Romania
Romania	BRD Groupe Soci�t� G�n�rale S.A	ROMANIA	indirect		Depozitarul Central S.A.
Saudi-Arabien	HSBC	SAUDI-ARABIEN	indirect		Securities Depository Center Company
Serbien	Raiffeisen Bank International AG	SERBIEN	indirect		Central Securities Depository and Clearing House
Singapore	DBS Bank Ltd	SINGAPORE	indirect		Central Depository (Pte) Limited (CDP); Monetary Authority of Singapore (MAS)
Slovak Republik	Ceskoslovenska obchodna banka as (CSOB)	SLOVAK REPUBLIC	direct operated		CDCP Centralny depozitar cennych papierov SR
Slovenia	Nova Ljubljanska banka D.d. (NLB)	SLOVENIA	direct operated		KDD Central Securities
South Africa	Standard Chartered Bank, Johannesburg Branch	SOUTH AFRICA	indirect		STRATE
South Korea	HSBC Bank, Seoul	SOUTH KOREA	indirect		KSD - Korea Securities Depository
Spain	BBVA Banco Bilbao Vizcaya Argentaria, S.A.	SPAIN	indirect		IBERCLEAR
Spain	IBERCLEAR	SPAIN	CBF - direct		IBERCLEAR
Sweden	SEB, Stockholm	SWEDEN	indirect		Euroclear Sweden AB (VPC V�rdepapperscentralen)
Switzerland	UBS AG	SWITZERLAND	indirect		SIX SIS AG
Switzerland		SWITZERLAND	Direct		SIX-SIS AG
Taiwan	Deutsche Bank AG, Taipei Branch	TAIWAN	direct		Taiwan Depository & Clearing Corporation (TDCC)
Thailand	Standard Chartered Bank (Thai) Public Company Limited	THAILAND	indirect		Thailand Securities Depository (TSD)

Market	Depository/ Agent Name	Country	Type of link (direct/indirect/ direct operated)	Sub Name	CSD Name(s)
Turkey	Türk Ekonomi Bankasi A.S.	TURKEY	indirect		Merkezi Kayit Istanbul (MKK)
UK	Citibank NA London Branch	UNITED KINGDOM	indirect		Euroclear UK and Ireland Ltd (EUI)
UK	Euroclear UK and Ireland Ltd (EUI)	UNITED KINGDOM	direct		Euroclear UK and Ireland Ltd (EUI)
Ukraine	Citibank Ukraine, JSC (operator)	UKRAINE	direct		National Bank of Ukraine
Uruguay	Banco Itau Uruguay S.A.	URUGUAY	indirect		There is no CSD in Uruguay. The Central Bank of Uruguay provides certain services, of a Central Depository for dematerialised government bonds.
USA	Citibank N.A., New York	USA	indirect		Depository Trust & Clearing Corporation, FEDWIRE for securities
USA	NA	USA	CBF - direct		Depository Trust & Clearing Corporation

International Market(XS-ISIN)		
Common Depositories	Specialised Depositories	Sub - Depositories
MUFG Bank, Ltd		
Banque et Caisse d'Epargne		
Banque Internationale à Luxembourg		
BNP Paribas Securities Services, Lux Branch		
CACEIS Bank Luxembourg		
Citibank Europe plc		
China Construction Bank (Asia)		
DBS Bank Ltd		
Deutsche Bank AG, Frankfurt		
Deutsche Bank AG, Hong Kong Branch		

Common Depositories	Specialised Depositories	Sub - Depositories
Deutsche Bank AG, London Branch		Deutsche Bank AG, Luxemburg
Euroclear Bank		
HSBC Bank plc		
Mizuho Trust & Banking		
Societe Generale Bank and Trust		
The Bank of New York Mellon, London		The Bank of New York Mellon, Luxemburg
The Hongkong and Shanghai Banking Corp., Hong Kong		The Hongkong and Shanghai Banking Corp., Singapore
Elavon Financial Services Limited		
	Deutsche Bank AG, Hong Kong Branch	
	Deutsche Bank AG, London Branch	

## 2. Interessenkonflikte

Interessenkonflikte liegen weder aus der Unterverwahrung nach § 82 KAGB noch aus der Inanspruchnahme der Dienstleistungen der Clearstream Banking AG vor.

Die Hamburger Sparkasse ermittelt Interessenkonflikte aus der Ausübung der Verwahrstellenfunktion in den Unternehmensbereichen Compliance sowie Wertpapier- und Transaktions-Service. Ermittelte Interessenkonflikte werden durch den Unternehmensbereich Compliance überwacht. Die beiden Unternehmensbereiche sind funktional und organisatorisch voneinander unabhängig.

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