

AML Policy Disclosure Letter

Good afternoon :

Euronext Market Services LLC, a registered FINRA Broker Dealer, has adopted an Anti-Money Laundering Compliance Program that fulfills all requirements of the US Patriot Act, FINRA Rule 3310, US Department of Treasury and other related Acts.

We have developed and implemented a written anti-money laundering program reasonably designed to achieve and monitor our compliance with the requirements of the Bank Secrecy Act (31 U.S.C. 5311, et seq.), and the implementing regulations promulgated there under by the Department of the Treasury.

The anti-money laundering program includes the following:

1. Establishes and implements policies and procedures that can be reasonably expected to detect and facilitate the reporting of transactions required under 31 U.S.C. 5318(g) and the implementing regulations there under;
2. Establishes and implements policies, procedures, and internal controls reasonably designed to achieve compliance with the Bank Secrecy Act and the implementing regulations there under;
3. Provides for annual (on a calendar-year basis) independent testing for compliance to be conducted by member personnel or by a qualified outside party;
4. Designates and identifies to FINRA (by name, title, mailing address, e-mail address, telephone number, and facsimile number) an individual responsible for implementing and monitoring the day-to-day operations and internal controls of the program and provide prompt notification to FINRA regarding any change in such designation(s); and
5. Provides ongoing training for appropriate personnel.

Should you have any questions or concerns, please contact the Euronext Market Services LLC Compliance Department at (646) 779-1135, or you can email me directly at PBasilice@Euronext.com.

Thank you,

Patrick Basilice
Chief Compliance Officer
Euronext Market Services LLC