

In this document you will find our answers to the most commonly asked questions regarding to OHV and MiFID II. If you have a question which is not being addressed in this document, please contact compliance@ohv.nl.

General information

Legal Name	Oolders, Heijning & Voogelaar B.V.
LEI	7245000R5QUIJPTI7118
Country of Domicile	The Netherlands
FATCA status	Reporting Model 1 FFI
Investment Firm status	MiFID II Investment firm
Chamber of Commerce NL registration	33.248.757
Competent Authority	Autoriteit Financiële Markten (AFM) www.afm.nl
Licenses	See www.ohv.nl/en/compliance for a copy of our license
Services offered by OHV	<ul style="list-style-type: none"> - Reception and transmission of orders - Execution of orders on behalf of clients - Portfolio Management - Investment advisory services

MiFID II Details

Topic	Answer
OTF	OHV has an OTF permit to trade FX forwards. For information regarding connecting to the OTF please contact Kevin van Berkel k.vanberkel@ohv.nl
SI	OHV will not opt-in to be an SI
Trading capacities (DEAL, AOTC or MTCH)	AOTC
Post trade transparency	OHV will report OTC trades through the Bloomberg APA according to the MiFID II Pre- and Post-Trade Transparency obligations.
Equities trading	OHV only trades equities on RM or MTF
Research	Our definition of research is any material or service that could influence an investment decision, either explicitly or implicitly. Research will only be paid for if there's a signed agreement between OHV and the research provider. Responsible person for research: O.bazuin@ohv.nl
Terms of business	By doing business with OHV you agree with our terms of business which are published on our website www.ohv.nl/en/compliance

Counterparties

In order to trade with OHV you will need a trading line approval and a confirmation of you being categorized as an Eligible Counterparty by our compliance team. If you do not have an approval by our compliance team, please send your request to compliance@ohv.nl

For an efficient process of opening the trading lines, we advise to include the following documents in your request:

- Authorized Traders and contact details
- Regulator information
- Most recent annual Report
- Copy of Certificate of Incorporation
- Contact details of Operations & Settlements desks
- SSI's
- LEI
- Ubo identification documents
- Completed and signed Wolfsberg AML Questionnaire

Counterparty categorization

In application of the terms and conditions of the Markets in Financial Instruments Directive II (MiFID II), unless we hear to the contrary, we shall consider you as an "Eligible Counterparty" in the sense expressed in Article 30 of MiFID II. As an Eligible Counterparty, you are deemed to have the experience, knowledge and expertise to make your own investment decisions and assess the risks inherent in your decisions and deserve the lowest level of client protection. You have the right to request a different categorization by sending your request to compliance@ohv.nl.

Categorization of OHV

With our approval of the trading line, OHV will request you to be categorized as an Eligible Counterparty according to MiFID II for Delivery Versus Payment (DVP) securities trading. Be advised that OHV is an investment firm that is authorized to execute orders on behalf of clients, to trade over own account and to receive or transmit orders. We are regulated by The Authority Financial Markets in The Netherlands. According to article 30 of the MiFID II Directive, an investment firm that transmits, accepts or executes orders should be recognized as eligible counterparty.

MiFID II Consents

As an Eligible Counterparty of OHV you consent with:

1. OHV to execute your orders outside a Trading Venue;
2. OHV to not immediately make public a limit order in shares that is not immediately executed under prevailing market conditions where OHV considers it appropriate not to do so;
3. OHV to provide information personally and not personally addressed to you by way of e-mail and/or our website.

If you do not consent with the requirements of the Markets in Financial Instruments Directive ("MiFID") and Regulation ("MiFIR"), as stated above, please contact our compliance department (compliance@ohv.nl).

As your Eligible Counterparty OHV provides express consent for you to:

1. Execute our orders outside a Trading Venue;
2. Not immediately make public a limit order in shares that is not immediately executed under prevailing market conditions where you consider it appropriate not to do so;
3. Provide information personally and not personally addressed to us by way of e-mail and/or your website.

Standard Settlement Instructions

Our SSI's are published on www.ohv.nl/en/compliance or can be requested by email (compliance@ohv.nl)

Contact details

Operations		Compliance		Risk	
S. van 't Hof	+31 205040429	H. Portier	+31 20 50 40 435	R. Tol	+31 20 50 40 452
A. Hommel	+31 165507762				
K. Trampe	+31 205040451				
M. Trouwborst	+31 205040434				
K. van den Hout	+31 165507765				
operations@ohv.nl		compliance@ohv.nl		compliance@ohv.nl	

Authorised traders

Trader Name	Product	Email	Bloomberg UUID
Michael Mooijer	All asset classes	m.mooijer@ohv.nl	26058290
Nico Schilder	All asset classes	n.schilder@ohv.nl	19682613
Otto Bazuin	All asset classes	o.bazuin@ohv.nl	22852829
Peter van Klaveren	Bonds	p.vanklaveren@ohv.nl	8355525
Mark Overdevest	Bonds	m.overdevest@ohv.nl	9070215
Rolf Bakker	Bonds	rolf.bakker@ohv.nl	29733993
Hennie Stam	Money Market Products / Bonds	h.stam@ohv.nl	9098130
Edwin Touw	Money Market Products / Bonds	e.touw@ohv.nl	N/A
Kevin van Berkel	Money Market Products / Bonds	k.vanberkel@ohv.nl	13238107
Herman Glotzbach	Loans	h.glotzbach@ohv.nl	N/A
Wouter Vrolijk	Loans	w.vrolijk@ohv.nl	N/A