

BrokerCheck Report

BAILLIE GIFFORD FUNDS SERVICES LLC

CRD# 171147

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



BAILLIE GIFFORD FUNDS SERVICES LLC

CRD# 171147

SEC# 8-69448

Main Office Location

CALTON SQUARE
1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN
Regulated by FINRA New York Office

Mailing Address

CALTON SQUARE
1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN

Business Telephone Number

0044 131 275 2000

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 02/14/2014.

Its fiscal year ends in March.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 02/14/2014.

Its fiscal year ends in March.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

BAILLIE GIFFORD FUNDS SERVICES LLC

Doing business as BAILLIE GIFFORD FUNDS SERVICES LLC

CRD# 171147

SEC# 8-69448

Main Office Location

CALTON SQUARE
1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN

Regulated by FINRA New York Office

Mailing Address

CALTON SQUARE
1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN

Business Telephone Number

0044 131 275 2000



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): BAILLIE GIFFORD OVERSEAS LTD

110296

Is this a domestic or foreign entity or an individual? Foreign Entity

Position PARENT COMPANY

Position Start Date 02/2014

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ARCHIBALD, LESLEY-ANNE MARGARET

6704278

Is this a domestic or foreign entity or an individual? Individual

Position CHAIRPERSON

Position Start Date 03/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): ARCHIBALD, LESLEY-ANNE MARGARET

6704278

Is this a domestic or foreign entity or an individual? Individual

Position NON EXECUTIVE DIRECTOR



Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date 05/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): HAMILTON, KATHRIN
4797514

Is this a domestic or foreign entity or an individual? Individual

Position NON-EXECUTIVE DIRECTOR

Position Start Date 11/2018

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MAZUR, CLARE CAMBRIA
5170345

Is this a domestic or foreign entity or an individual? Individual

Position NON-EXECUTIVE DIRECTOR

Position Start Date 11/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No



Firm Profile

Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): PARISE, JANICE DRU
2338583

Is this a domestic or foreign entity or an individual? Individual

Position CFO

Position Start Date 03/2014

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PORTEOUS, GARRY
6912188

Is this a domestic or foreign entity or an individual? Individual

Position CCO

Position Start Date 05/2025

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): PORTEOUS, GARRY
6912188

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 05/2025

Percentage of Ownership Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ROSS, KRISTEN MICHELLE
5953098

Is this a domestic or foreign entity or an individual? Individual

Position NON-EXECUTIVE DIRECTOR

Position Start Date 11/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): SALIBA, MICHAEL GEORGE
2259624

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 11/2017

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): WOOD, NICK BERNARD
6709554

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	06/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	WOOD, NICK BERNARD 6709554
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	06/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	BAILLIE GIFFORD & CO
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	BAILLIE GIFFORD OVERSEAS LTD
Relationship to Direct Owner	PARENT COMPANY
Relationship Established	02/2014
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/02/2015

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/02/2015



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/23/2017
Alaska	Approved	04/07/2017
Arizona	Approved	04/13/2017
Arkansas	Approved	05/08/2017
California	Approved	03/21/2017
Colorado	Approved	04/13/2017
Connecticut	Approved	05/01/2017
Delaware	Approved	05/18/2017
District of Columbia	Approved	05/18/2017
Florida	Approved	03/31/2017
Georgia	Approved	04/11/2017
Hawaii	Approved	04/10/2017
Idaho	Approved	03/14/2017
Illinois	Approved	05/10/2017
Indiana	Approved	04/12/2017
Iowa	Approved	03/14/2017
Kansas	Approved	05/01/2017
Kentucky	Approved	03/21/2017
Louisiana	Approved	03/20/2017
Maine	Approved	05/04/2017
Maryland	Approved	03/24/2017
Massachusetts	Approved	06/06/2017
Michigan	Approved	04/19/2017
Minnesota	Approved	04/26/2017
Mississippi	Approved	03/27/2017
Missouri	Approved	05/24/2017
Montana	Approved	03/23/2017
Nebraska	Approved	04/21/2017
Nevada	Approved	03/27/2017
New Hampshire	Approved	11/29/2017
New Jersey	Approved	06/20/2017
New Mexico	Approved	04/28/2017
New York	Approved	03/30/2015

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	04/28/2017
North Dakota	Approved	04/11/2017
Ohio	Approved	04/08/2015
Oklahoma	Approved	03/21/2017
Oregon	Approved	05/01/2017
Pennsylvania	Approved	03/20/2017
Puerto Rico	Approved	05/02/2017
Rhode Island	Approved	03/23/2017
South Carolina	Approved	04/03/2017
South Dakota	Approved	03/14/2017
Tennessee	Approved	04/20/2017
Texas	Approved	05/17/2017
Utah	Approved	04/03/2017
Vermont	Approved	04/11/2017
Virgin Islands	Approved	05/03/2017
Virginia	Approved	06/07/2017
Washington	Approved	05/03/2017
West Virginia	Approved	05/03/2017
Wisconsin	Approved	05/08/2017
Wyoming	Approved	04/11/2017

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Mutual fund underwriter or sponsor
Private placements of securities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: STAR COMPLIANCE

Business Address: THE CATALYST
BAIRD LANE
YORK, UNITED KINGDOM YO10 5GA

Effective Date: 02/05/2016

Description: STAR COMPLIANCE PROVIDE THE SOFTWARE FOR BAILLIE GIFFORD'S CODE OF ETHICS SYSTEM. THIS SYSTEM IS OUR CENTRAL RECORD OF STAFF MEMBERS' CODE OF ETHICS RELATED ACTIVITY STAR COMPLIANCE HOST OUR DATA IN THEIR UK DATA CENTRE. ACCESS TO BG DATA IS RESTRICTED BASED ON ROLE. ONLY THE CLIENT, TECHNICAL AND PROFESSIONAL SERVICES TEAMS HAVE ACCESS TO THIS DATA. THEY MAINTAIN AN 'ACCESS MATRIX' AND THEIR PRIVACY POLICY SETS OUT PROCEDURES FOR PERSONAL DATA HANDLING.

Name: BAILLIE GIFFORD & CO

Business Address: 1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN

Effective Date: 03/02/2015

Description: BAILLIE GIFFORD & CO IS THE PARENT ENTITY OF THE FIRM. THE ALL SYSTEMS USED BY THE FIRM FOR STORAGE OF BOOKS AND RECORDS ARE OWNED BY BAILLIE GIFFORD & CO. ACCESS TO FOLDERS USED FOR STORAGE OF THE FIRMS RECORDS IS RESTRICTED TO BGFS REGISTERED AND ASSOCIATED PERSONS. ALL HARDCOPY FILES ARE MAINTAINED IN LOCKED CABINETS AND ACCESSED ONLY BY BGFS REGISTERED AND ASSOCIATED PERSONS.

Name: IRON MOUNTAIN

Business Address: NETTLEHILL ROAD
HOUSTON INDUSTRIAL ESTATE
LIVINGSTON, UNITED KINGDOM FOREIGN

Effective Date: 02/14/2014

Description: CERTAIN BOOKS AND RECORDS REQUIRED BY THE SECURITIES EXCHANGE ACT OF 1934 ARE ARCHIVED AT AN EXTERNAL DOCUMENT STORAGE COMPANY. DOCUMENTS CAN BE RETRIEVED (DURING WORKING DAYS) WITHIIN 2 HOURS FROM THIS FACILITY.

This firm does not have accounts, funds, or securities maintained by a third party.

Firm Operations



Industry Arrangements (continued)

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

BAILLIE GIFFORD ASIA (SINGAPORE) PRIVATE LIMITED is under common control with the firm.

Business Address:	77 ROBINSON ROAD #13-00 SINGAPORE, SINGAPORE 068896
Effective Date:	09/01/2024
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD ASIA (SINGAPORE) PRIVATE LIMITED IS UNDER COMMON CONTROL WITH BAILLIE GIFFORD FUNDS SERVICES LLC. BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BOTH ENTITIES.

BAILLIE GIFFORD INTERNATIONAL LLC is under common control with the firm.

CRD #:	305849
Business Address:	C/O CORPORATION SERVICE COMPANY 2711 CENTREVILLE, DE 19808
Effective Date:	03/13/2020
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD INTERNATIONAL LLC IS UNDER COMMON CONTROL WITH

Firm Operations



Organization Affiliates (continued)

BAILLIE GIFFORD FUNDS SERVICES LLC. BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BOTH ENTITIES.

BAILLIE GIFFORD & CO LIMITED is under common control with the firm.

CRD #: 304197

Business Address: CALTON SQUARE
1 GREENSIDE ROW
EDINBURGH, UNITED KINGDOM EH1 3AN

Effective Date: 05/16/2019

Foreign Entity: Yes

Country: UK

Securities Activities: No

Investment Advisory Activities: Yes

Description: BAILLIE GIFFORD & CO LIMITED IS UNDER COMMON CONTROL WITH BAILLIE GIFFORD OVERSEAS, WHICH IS THE PARENT COMPANY OF BAILLIE GIFFORD FUNDS SERVICES LLC.

BAILLIE GIFFORD OVERSEAS INVESTMENT FUND MANAGEMENT (SHANGHAI) LIMITED is under common control with the firm.

Business Address: UNIT 4203-04, ONE MUSEUM PLACE
669 XIN ZHA ROAD, JING AN DISTRICT
SHANGHAI, PEOPLES REPUBLIC OF CHIA 200041

Effective Date: 11/10/2020

Foreign Entity: Yes

Country: PEOPLES REPUBLIC OF CHIA

Securities Activities: No

Investment Advisory Activities: Yes

Description: BAILLIE GIFFORD INVESTMENT MANAGEMENT (SHANGHAI) LIMITED ("BGIMS") INCORPORATED A NEW WHOLLY OWNED SUBSIDIARY, BAILLIE GIFFORD OVERSEAS INVESTMENT FUND MANAGEMENT (SHANGHAI) LIMITED ("BGOIFS") ON 10 NOVEMBER 2020. BAILLIE GIFFORD INVESTMENT MANAGEMENT (SHANGHAI) LIMITED ("BGIMS"), IS AN AFFILIATE OF BAILLIE GIFFORD FUNDS SERVICES LLC.

Firm Operations



Organization Affiliates (continued)

BAILLIE GIFFORD INVESTMENT MANAGEMENT SHANGHAI LIMITED is under common control with the firm.

Business Address:	UNIT 4203-04, ONE MUSEUM PLACE 669 XINZHA ROAD , JING'AN DISTRICT SHANGHAI, CHINA 200041
Effective Date:	05/30/2019
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD INVESTMENT SHANGHAI LIMITED IS UNDER COMMON CONTROL WITH BAILLIE GIFFORD FUNDS SERVICES LLC. BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BOTH ENTITIES.

BAILLIE GIFFORD INVESTMENT MANAGEMENT (EUROPE) LIMITED is under common control with the firm.

Business Address:	10 EARLSFORT TERRACE DUBLIN, IRELAND DUBLIN 2
Effective Date:	05/02/2018
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD INVESTMENT MANAGEMENT (EUROPE) LIMITED IS UNDER COMMON CONTROL WITH BAILLIE GIFFORD FUNDS SERVICES LLC. BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BOTH ENTITIES

BAILLIE GIFFORD (ASIA) HONG KONG LIMITED is under common control with the firm.

Business Address:	SUITE 2713-2715 , TWO INTERNATIONAL FINANCE CENTRE 8 FINANCE STREET CENTRAL, HONG KONG
Effective Date:	12/16/2015
Foreign Entity:	Yes
Country:	HONG KONG

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD ASIA (HONG KONG) LIMITED IS UNDER COMMON CONTROL WITH BAILLIE GIFFORD FUNDS SERVICES LLC. BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BOTH ENTITIES.

BAILLIE GIFFORD & CO controls the firm.

Business Address:	CALTON SQUARE 1 GREENSIDE ROW EDINBURGH, UNITED KINGDOM EH1 3AN
Effective Date:	02/14/2014
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD & CO IS THE PARENT OF BAILLIE GIFFORD OVERSEAS LTD AND THE ULTIMATE PARENT OF BAILLIE GIFFORD FUNDS SERVICES LLC.

MITSUBISHI UFJ BAILLIE GIFFORD ASSET MANAGEMENT LTD is under common control with the firm.

Business Address:	1 GREENSIDE ROW EDINBURGH, UNITED KINGDOM EH1 3AN
Effective Date:	02/14/2014
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD OVERSEAS LIMITED IS A 49% SHAREHOLDER OF MITSUBISHI UFJ BAILIE GIFFORD ASSET MANAGEMENT LTD.

BAILLIE GIFFORD OVERSEAS LTD controls the firm.

Firm Operations



Organization Affiliates (continued)

CRD #:	110296
Business Address:	1 GREENSIDE ROW EDINBURGH, UNITED KINGDOM EH1 3AN
Effective Date:	02/14/2014
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BAILLIE GIFFORD OVERSEAS LIMITED IS THE PARENT OF BAILLIE GIFFORD FUNDS SERVICES LLC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	BAILLIE GIFFORD & CO
Current Status:	Final
Allegations:	IN JULY 2008 BG & CO MADE A LATE PUBLIC DISCLOSURE OF ITS CLIENTS HOLDINGS IN A GERMAN REGISTERED COMPANY THAT EXCEEDED PERCENTAGE THRESHOLDS TRIGGERING TIMELY DISCLOSURE REQUIREMENTS PURSUANT TO THE GERMAN SECURITIES TRADING ACT.
Initiated By:	BUNDESANSTALT FUR FINANZDIENSTLEISTUNGSAUFSICHT (BAFIN)
Date Initiated:	02/10/2010
Docket/Case Number:	
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	03/31/2010
Sanctions Ordered:	Monetary/Fine \$8,500.00
Other Sanctions Ordered:	
Sanction Details:	BG & CO PAID THE FINE IN FULL TO BAFIN ON 31 MARCH 2010.
Firm Statement	BAFIN FORMALLY CONCLUDED THE PROCEEDING ON 23 MARCH 2010 AND IMPOSED AN ADMINISTRATIVE FINE OF 6,300 EUROS (APPROXIMATELY US\$8,500) ON BG & CO. BG & CO PAID THE FINE IN FULL TO BAFIN ON 31 MARCH 2010.

End of Report



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