

Notice of Reliance on Substituted Compliance by:

Credit Suisse AG	28/10/2021	Drew Shoemaker	Switzerland		
Below please find specific substituted compliance determinations in the Order for which the Covered Entity intends to apply substituted compliance.					
Rule Category	Sub-Category	Rule(s)	Substituted Compliance Order Section	Any limitations to the scope of the reliance on substituted compliance? [Yes/leave blank]	If "Yes" in Column E, description of scope limitation (e.g. for entity-level rules, identify the SBS business that is eligible for substituted compliance, and for transaction level rules, indicate the class of transactions, such as "transactions with French counterparties") [otherwise leave blank]
Risk Control Requirements	Internal Risk Management	Exchange Act section 15F(j)(2) and Exchange Act rules 15Fh-3(h)(2)(iii)(I)	(b)(1)		
	Trade Acknowledgment and Verification	Exchange Act section 15F(i) and Exchange Act rule 15Fi-2	(b)(2)		
	Portfolio Reconciliation	Exchange Act section 15F(i) and Exchange Act rules 15Fi-3	(b)(3)		
	Portfolio Compression	Exchange Act section 15F(i) and Exchange Act rules 15Fi-4	(b)(4)		
Internal Supervision and Compliance	Internal Supervision (including conflicts of Interest)	Exchange Act section 15F(j)(4)(A) and (j)(5) and Exchange Act rule 15Fh-3(h)	(c)(1), (3), (4)		
Recordkeeping and Reporting	Record Creation	Exchange Act rule 18a-5(b)(1) [blotters]	(d)(1)(i)(A), (ii)(A)		
	Record Creation	Exchange Act rule 18a-5(b)(2) [customer account ledgers]	(d)(1)(i)(B), (ii)(A)		
	Record Creation	Exchange Act rule 18a-5(b)(3) [securities record/ledger]	(d)(1)(i)(C), (ii)(A)		
	Record Creation	Exchange Act rule 18a-5(b)(4) [memo of broker order]	(d)(1)(i)(D)		
	Record Creation	Exchange Act rule 18a-5(b)(5) [memo of purchase and sale]	(d)(1)(i)(E)		
	Record Creation	Exchange Act rule 18a-5(b)(6) [confirm/trade acknowledgment, verification] and (b)(11) if applicable	(d)(1)(i)(F)		
	Record Creation	Exchange Act rule 18a-5(b)(7) [counterparty info]	(d)(1)(i)(G), (ii)(A)		
	Record Creation	Exchange Act rule 18a-5(b)(13) [business conduct standards, CCO requirements]	(d)(1)(i)(I)	Y	Sub-comp under (f)(1)(i)(M) will apply only in respect to Internal Supervision rules.
	Record Creation	Exchange Act rule 18a-5(b)(14)(i) and (ii) [port rec]	(d)(1)(i)(I)		
	Record Creation	Exchange Act rule 18a-5(b)(14)(iii) [portfolio compression]	(d)(1)(i)(K)		
	Record Maintenance (including rules on electronic recordkeeping and third party contractors)	Exchange Act rule 18a-6(a)(2) [retention for certain records at least 6 years, 2 in easily accessible place]	(d)(2)(i)(A), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(b)(2)(i)[retention for certain records at least 3 years, 2 in easily accessible place]	(d)(2)(i)(B), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(b)(2)(ii) [retention for communications]	(d)(2)(i)(C), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(b)(2)(iii) [retention for guarantees etc.]	(d)(2)(i)(D), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(b)(2)(iv) [retention for written business agreements etc.]	(d)(2)(i)(E), (ii)		

	Record Maintenance	Exchange Act rule 18a-6(b)(2)(vii) [retention for business conduct records, political contributions, CCO requirements]	(d)(2)(i)(F), (ii)	Y	Sub-comp under (f)(2)(i)(K) will apply only in respect to Internal Supervision rules
	Record Maintenance	Exchange Act rule 18a-6(c) [lifetime preservation of licenses etc.]	(d)(2)(i)(G), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(d)(2)(ii) [retention for exam reports etc.]	(d)(2)(i)(I), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(d)(3)(ii) [retention for SBS manuals]	(d)(2)(i)(J), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(d)(4) and (d)(5) [retention for portfolio reconciliation, compression, relationship docs and related audit]	(d)(2)(i)(K), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(e) [use of electronic storage system]	(d)(2)(i)(L), (ii)		
	Record Maintenance	Exchange Act rule 18a-6(f) [third party storage, written undertaking]	(d)(2)(i)(M), (ii)		
	Daily Trading Records	Exchange Act section 15F(g)	(d)(5)		
	Financial Reports	Exchange Act rule 18a-7(a)(2), and the requirements of Exchange Act rule 18a-7(j) as applied to the requirements of Exchange Act rule 18a-7(a)(2)	(d)(3)		
	Notifications	Exchange Act rule 18a-8(c) and the requirements of Exchange Act rule 18a-8(h) as applied to the requirements of Exchange Act rule 18a-8(c) [notice of adjustment to reported capital category]	(d)(4)(i)(A), ii		