

Client Identification Programme (CIP) Guidance

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Part 1. Entity information	
Q.1 Full legal name	The full legal name refers to the company name. The full legal entity name must be identical with your entity's full name in accordance with the respective legal documents (that is, certificate of incorporation).
Q.2 Legal form	The legal form must match the legal form in entity's current legal records.
Q.3 Regulatory status	If there is a regulator/supervisory authority with primary responsibility for oversight of the entity. If there is more than one primary regulator, provide all regulators/supervisory authorities and the subject of regulation.
Q.4 Legal Entity Identifier (LEI)	The LEI is a unique global identifier for legal entities participating in financial transactions. Also known as LEI code or LEI number. It is a 20-character alphanumeric code used to identify parties to financial transactions worldwide. It has been implemented to improve the quality and accuracy of financial data reporting systems for better risk management.
Q.5 Regulated market in the EU or third country subject to equivalent disclosure/transparency obligations.	Regulated markets in the EU are the markets in financial instruments, which are recognised by national competent authorities and function in accordance with the provision of MiFID (Market in Financial Instruments Directive), and regulated markets in third countries with equivalent disclosure obligations. See also Directive 2004/109/EC (Transparency Directive) and Directive 2014/65 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (MiFID 2 recast).
Q.6 Shell bank/company	According to the Financial Action Task Force (FATF), a shell bank is "a bank that has no physical presence in the country in which it is incorporated and licensed, and which is unaffiliated with a regulated financial group that is subject to effective consolidated supervision. Physical presence means meaningful mind and management located within a country. The existence simply of a local agent or low-level staff does not constitute physical presence." A lot of jurisdictions prohibit any business with these types of entities.
Q.7 Main business lines/activities	Indicate your main current business activities as per annual report, articles of association etc.
Q.8 Main geographic markets and name countries, where you are active in (10% or more of the client's portfolio or revenues)	Provide concrete countries, please avoid indicating only EU, EMEA etc. The concrete countries associated with the geographic markets where you are active in (10% or more of your portfolio) must be indicated.

Part 2. Executive management

Q. 9 Executive management

For the purposes of this form, **executive management** is appointed in accordance with national law applicable to your entity, and which is understood by such law as having the management (executive) function. Usually, the executive management/board includes the Executive Board ("Vorstand" in Germany) in relation to a public limited company incorporated under German law (Aktiengesellschaft, AG), the Executive Board in relation to a public limited company incorporated under Luxembourg law having adopted a dualistic board structure (société anonyme, S.A.), the Board of Directors (acting in its management function) as well as the persons to whom the daily management has been delegated in relation to a public limited company incorporated under Luxembourg law having adopted a monistic board structure (S.A.), the Management Board ("Geschäftsführung" in Germany) in relation to a private limited company incorporated under German law (Gesellschaft mit beschränkter Haftung, GmbH). Depending on the legal form of your entity, this may include Chief Executive Officer (CEO), Chief Operating Officer (COO), Chief Information Officer (CIO), Chief Financial Officer (CFO). Please provide these persons' complete names (incl. first name, middle name – if any –, last name according to their passport/ID card). All of their nationalities and citizenships (if there are multiple nationalities or citizenships), date of birth, city/country of birth, as well as their **PEP status** must be provided.

Part 3. Sanctions declaration

Q. 10 Sanctions declaration

Please indicate everything of relevance and elaborate on further details, if there are

- any offices, transactions, investments, activities or planned activities in sanctioned targets (**due to different sanctions regimes, for example, from U.S., EU, UK, Singapore, G7 members and/or your entity's jurisdiction**); or
- any transactions, investments, activities or planned activities with (or in) any person or entity located in sanctioned targets or with (or in) any entity owned or controlled by any entity located in sanctioned targets. Please provide details, including specific types of investments, transactions or activities and % of total revenues and/or assets that these instruments, transactions or activities represent for your institution in sanctioned targets;
- the screening process of your clients in place against sanctions lists.

Part 4. Authorised signature

Authorised signature

The persons who are authorised by your entity to sign such documents (for example, CIP) in accordance with their signing power/authority of the signatories. Please provide also the Authorised Signature List including specimen signatories and signing power/authority of these persons.

Note: Deutsche Börse Group processes personal data in accordance with the provisions of the **General Data Protection Regulation EU 2016/679 (GDPR)**.