

Client Application Form

We, the undersigned, representing, hereby apply to become a client of Clearstream Europe AG ("CEU").

Registered Company name (in full)

Trade name (if different from registered)

Country of residence

Address

City

Post code

Country

Tel

Fax

Email

Swift/BIC

Legal contact name

Tel

Position

Country of operation

(if different from country of residence)

Address

City

Post code

Country

Tel

Fax

Email

Swift/BIC

Legal Entity Identifier (LEI)

Legal Entity Identifier (20 characters)

VAT or CIF number

(please tick one box only)

VAT number (mandatory if country of operations is based in a European Union Member State or United Arab Emirates)

We are exempt from VAT.

Mailing address

(if different from country of residence)

Address

City

Post code

Country

Tel

Fax

Email

Department

Attention

Regulatory reporting

The company is subject to the national law of this jurisdiction

Names of the regulatory authorities responsible for the company's supervision

NACE code (according to the European Classification of Economic Activities)

Economic Sector Code (as defined by Banque Centrale de Luxembourg)

Type of institution

- Legal person under public law or public corporation
- Credit or financial services institution as defined in the Second Banking and Securities Coordination Directive of EU
- Other

Please indicate the company's main business

Please inform your Relationship Manager immediately of any changes to any of the above details.

Printing and mailing invoices

We acknowledge to be informed that the printing and mailing of invoices will be outsourced by CEU and hereby give power of attorney to these external service providers to collect from CEU the volume of deposits for the period considered and the number of instructions, that is, all information that is needed for the invoicing, together with our name, address and account number. The power of attorney is granted for an unlimited period of time.

SAP application support services

CEU will have recourse to an external service provider concentrating the provision of SAP application support services to CEU in the following areas:

- Daily support, maintenance and bug-fixing;
- Implementation of application enhancements.

We acknowledge that the service provider might have access to our client data if the solution of an error message or a special emergency situation requires the analysis of the issue in the production environment. To this end we hereby appoint such service provider as attorney to access our client data in such situations. The power of attorney is granted for an unlimited period of time.

Intra-group operations

We hereby give consent to CEU to disclose to Deutsche Börse AG, its subsidiaries and affiliates, in the meaning of sections 15 and the following Aktiengesetz (German Stock Corporation Act), all information necessary for the performance of operational tasks by Deutsche Börse AG, its subsidiaries and affiliates, in the meaning of sections 15 and the following Aktiengesetz (German Stock Corporation Act), in relation to any and all services provided by CEU to us as client.

Acceptance of CEU's General Terms and Conditions of Business

We have taken notice of 's General Terms and Conditions and acknowledge their validity (as amended from time to time) for our ongoing business relations with CEU. We hereby undertake to notify CEU immediately in writing of any changes of our name and address as well as on the expiry or modification of any power of representation (in particular, a power of attorney) granted by us towards CEU as well as to submit an up-to-date specimen signature form once a year. We hereby undertake to provide CEU with any additional information requested concerning our institution in as far as this becomes necessary from time to time in order to prevent money laundering.

The information provided herein might be transferred by CEU to Clearstream Banking S.A. in case our institution requests to open a new account with Clearstream Banking S.A.

Authorised signature(s)

Signature

Signature

Name

Name

Title

Title

Place

Place

Date

Date

Please return this form and the following documents to your Relationship Manager:

Document	Validity	Copy			
1. The Articles of Association and, if the articles are not available in English or German, a legal English translation	The latest in force as per Registry Extract	Accepted			
2. The Banking License or Business Licence as a professional of the financial sector) and, if this License is not available in English or German, a legal English translation	No older than 3 months	Accepted			
3. The Extract of the Company's Register and, if this Extract is not available in English or German, a legal English translation	No older than 3 months	Accepted			
4. The company's most recent audited Annual Reports . In the case of a subsidiary, please also provide the latest audited Annual Report of the parent company (for new companies the opening balance sheet is sufficient or, in the case of newly established subsidiaries, the opening balance sheet and the parent company's annual report for the previous financial year)	Last available audited report	Accepted			
			Original signed in wet-ink	PDF with QES²	PDF with SES³
5. The Client Application Form , duly filled and signed	The latest version	Accepted	Accepted	Accepted	Not accepted
6. The CASCADE Main Account Application Form and/or the Creation Account Application Form , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
7. An up-to-date official list of authorised client signatures	The latest version	Accepted	Accepted	Accepted	Accepted
8. The Client Identification Template and the relevant Due Diligence industry templates (FCCQ for proprietary business and ISSA Form and CBDDQ for client's client business), duly filled in and signed	No older than 1 year (ISSA form: No older than 8 months)	Accepted	Accepted	Accepted	Accepted
9. The Shareholder Structure , duly filled and signed	No older than 1 year	Accepted	Accepted	Accepted	Accepted
10. The FATCA self-certification form , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
11. The Entity tax residency self-certification form , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
12. The Controlling Persons tax residency self certification form , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
13. The Invoice form , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted

If you make any amendments to the documentation in future, please send the updated documents to your Relationship Manager at CEU as soon as they become available.

2. For information on Qualified Electronic Signature (QES), please refer to the Guidelines below.

3. For information on Simplified Electronic Signature (SES) and the accepted signature methods, please refer to the Guidelines below.

Clearstream contact details

Clearstream Europe⁴
 Mergenthalerallee 61
 65760 Eschborn
 Germany

Tel: +49-(0) 69-2 11-0
 Fax: +49-(0) 69-2 11-1 20 05

Guidelines

for the completion of specific fields of the **Client Application Form**:

Country of residence

The address and contact details of your company's registered Head Office.

Country of operation

The address and contact details of your company's registered office which will hold the account(s).

NACE Code

The NACE code is the statistical classification of economic activities in the European Community. Please identify which code is applicable to your company. Information can be found on the Eurostat website <http://epp.eurostat.ec.europa.eu>.

Economic Sector Code

It is the client's sector classification as defined by Banque Centrale de Luxembourg (BCL). Please identify which code is applicable to your company. Information is available on the BCL website www.bcl.lu/en under Regulatory Reporting / Credit institutions / Monetary and financial statistics / Reporting instructions / [Definitions and concepts for the statistical reporting of credit institutions](#).

Type of institution

Within the scope of the Fourth Financial Market Promotion Act, the section 24c Banking Act - KWG (Kreditwesengesetz) stipulates that CEU shall be obliged to provide the Bundesanstalt für Finanzdienstleistungsaufsicht ("BaFin") with electronic master data on client cash and securities accounts and other client-relevant information. BaFin may retrieve data for supervisory reasons or in compliance with other authority's request. This legal provision applies to all client accounts kept at . For that reason CEU is held to provide details on cash and securities accounts of all holders who are subject to an identity check within the meaning of section 154, paragraph 2 of the German Fiscal Code (Abgabenordnung).

Guidelines

for the completion of the **Authorised Signature List**:

For verification purposes, the Authorised Signature List must include the following information:

- Exact name of the institution and its country of operation;
- Name(s) of the signatories and their position or category;
- Specimen signatures of the signatories;
- Signatures regulations that correspond to activities with CEU (singly, jointly, A+A, A+B, ...);

Date of validity of the list of authorised signatures.

4. . Postal addresses of other Clearstream locations are available from www.clearstream.com under About Clearstream / [Office Locations](#).

Electronic signature

Documents can be submitted signed with Qualified Electronic Signature (QES) or Simplified Electronic Signature (SES) via digital platform for electronic documents. The electronic signature platform must possess the legislative framework established by the European Commission for acceptance at CEU.

The minimum requirement of the signature type (QES or SES) on relevant documents for onboarding and the link to the European Commission website, will be provided by your Relationship Manager or client facing team.

Simplified Electronic Signature (SES)

This signature type does not require any ID verification from the signer. As no tamper-proof security features are embedded within this type of signature, the electronic signatures performed and the mandatory digital certificate attached to it will only be recognised and accepted as SES.

CEU accepts the following signature methods on electronic signature platforms:

- Upload method: This is where you upload a picture of your handwritten signature using a pen or “wet ink”.
- Draw method: This is where you perform the signature directly on the tool using your mouse or digital pen on the computer.

For more information on the accepted signature methods, please contact your Relationship Manager.

Qualified Electronic Signature (QES)

A QES is an advanced form of electronic signature based on a qualified certificate and created by a Qualified Electronic Signature Creation Device (QSCD) and issued by a certified qualified trust services provider (QTSP) attesting to the authenticity of the electronic signature through proof of signer identity.

This signature type provides the strongest level of signer assurance as it is the only signature type in the EU that is recognised as the equivalent to a handwritten signature.

General standards:

CEU can accept signature lists submitted in the following formats:

- Original printed lists;
- Certified photocopies;
- Client email attachment (only official list);
- SignatureNet;
- Internet websites (website of client only, with no third party intervention).

Unacceptable standards:

CEU cannot accept signature lists submitted in the following formats:

- Extracts;
- Facsimiles;
- Third party websites;
- Uncertified copies;
- Any authorised signature list that includes a disclaimer restricting the responsibilities of the client with regards to the use of the list by .