

# Client Application Form

We, the undersigned, representing,  
hereby apply to become a client of  
Clearstream Banking S.A.<sup>1</sup>

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)

## Investor CSD<sup>2</sup>

Yes  No

## VAT

(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.

1. Clearstream Banking S.A. (CBL), with its registered office located at 42 avenue JF Kennedy, L-1855 Luxembourg, Luxembourg and registration R.C.S. Luxembourg number B 9248. CBL is also registered as an Australian CS (Overseas) Facility, under subsection 824B(2) of the Corporations Act 2001, with registration number ARBN 675 244 783.

2. This information is used in relation to Regulation (EU) No 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories (CSDR) to identify clients that are themselves a CSD.

## Mailing address

(if different from country of residence)

Address		
City	Post code	Country
Tel	Fax	
Email		
Department	Attention	

## Regulatory reporting

- Yes  
The company is subject to the national law of this jurisdiction and operates within the framework of specific regulations set by regulatory authorities.

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)

In compliance with the general due diligence requirements of CBL, and in particular CBL's obligation to identify and verify the identity of persons purporting to act on behalf of its clients pursuant to Article 20 of CSSF Regulation 12-02 (as amended), we represent and warrant that we (a) applied, and are applying, due diligence measures to these persons and (b) carried, and are carrying, out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters.

We further confirm that CBL may request at any time evidence of the accuracy and good-standing of the above representations and warranties and we agree to hold CBL harmless against any loss it may suffer due to its reliance on the above representations and warranties.

- No  
In compliance with the general due diligence requirements of CBL, and in particular CBL's obligation to identify and verify the identity of persons purporting to act on behalf of its clients pursuant to Article 20 of CSSF Regulation 12-02 (as amended) the authorised signers of this form will provide the copy of their ID Card / Passport or driving licence (front and back) and their home address.

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 CBL to docsellent GmbH and hereby give power of attorney to docsellent GmbH to collect from CBL 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 service

CBL will have recourse to an external service provider concentrating the provision of SAP application support services to CBL 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 power of attorney to Deutsche Börse AG, its subsidiaries and affiliates, to collect from CBL all information necessary for the performance of operational tasks by Deutsche Börse AG, its subsidiaries and affiliates, in relation to any and all services provided by CBL to us as client. The power of attorney is granted for an unlimited period of time. These powers of attorney are governed by CBL's General Terms and Conditions, as modified from time to time.

## Governing documents

We confirm that we have read CBL's Governing Documents as available today on the website [www.clearstream.com](http://www.clearstream.com) and that we acknowledge such CBL Governing Documents as amended from time to time and hereby confirm our acceptance to be bound by their terms and conditions. These Governing Documents shall also apply to all subsequent accounts to be opened upon our request by duly authenticated means of communication.

- If this "Client Application Form" is approved, we request CBL to open on our behalf the necessary security and cash accounts.
- We agree that CBL may request additional information in relation to our institution as may be required from time to time under the applicable money laundering rules.

## 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 <a href="#">Articles of Association</a> and, if the articles are not available in English, French or German, a legal English translation	The latest in force as per Registry Extract	Accepted			
2. The <a href="#">Banking License or Business Licence</a> (to operate as a financial institution under Luxembourg law or any equivalent category under the client's national law) and, if the Licence is not available in English, French or German, a legal English translation	No older than 3 months	Accepted			
3. The Extract of the <a href="#">Company's Register</a> including certificate of residency	No older than 3 months	Accepted			
4. The company's most recent audited <a href="#">Annual Reports</a> . In the case of a subsidiary, please also provide the latest audited Annual Report of the parent company.	Last available audited report	Accepted			
5. <a href="#">US Patriot Act</a> certification (if available)	No older than 3 months	Accepted			
6. Detailed <a href="#">report</a> written on your company by a recognised rating agency (if available)	The latest version	Accepted			
			<b>Original signed in wet-ink</b>	<b>PDF with QES<sup>3</sup></b>	<b>PDF with SES<sup>4</sup></b>
7. The <a href="#">Client Application Form</a> , duly filled and signed	The latest version	Accepted	Accepted	Accepted	Not accepted
8. The <a href="#">Account Application Form</a> , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
9. An up-to-date official <a href="#">list of authorised client signatures</a>	The latest version	Accepted	Accepted	Accepted	Accepted
10. The <a href="#">Client Identification Template</a> and the relevant <a href="#">Due Diligence industry templates</a> (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
11. The <a href="#">Shareholder Structure</a> , duly filled and signed	No older than 1 year	Accepted	Accepted	Accepted	Accepted
12. The <a href="#">FATCA self-certification form</a> , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
13. The <a href="#">Entity tax residency self-certification form</a> , duly filled in and signed	The latest version	Accepted	Accepted	Accepted	Accepted
14. The <a href="#">Controlling Persons tax residency self certification form</a> , 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 CBL as soon as they become available.

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

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

## Clearstream contact details

Clearstream Banking Luxembourg  
**Head Office**  
 42 Avenue JF Kennedy  
 L-1855 Luxembourg

Tel: +352-243-0  
 Fax: +352-243-38000

### Clearstream Banking London Branch

11 Westferry Circus  
 2nd Floor, Westferry House  
 Canary Wharf  
 London E14 4HE  
 United Kingdom

Tel: +44-(0)20-7862-7000  
 Fax: +44-(0)20-7862-7297

### Clearstream Banking Dubai Representative Office

Conrad Tower  
 Level 10 - Unit 1006  
 Sheikh Zayed Road  
 P.O. Box 27250  
 Dubai  
 United Arab Emirates

Tel: +971-(0)4-3599333  
 Fax: +971-(0)4-3889333

### Clearstream Banking New York Representative Office

1155 Avenue of the Americas  
 19th floor  
 New York, NY 10036  
 United States of America

Tel: +1-212-309-8888  
 Fax: +1-212-309-8889

### Clearstream Banking Hong Kong Representative Office

2904-7, 29/F, Man Yee Building  
 68 Des Voeux Road Central  
 Hong Kong

Tel: +852-2523-0728  
 Fax: +852-2529-7796

### Clearstream Banking Singapore Branch

9 Raffles Place  
 #55-01  
 Republic Plaza  
 Singapore 048619  
 Republic of Singapore

Tel: +65-659-71600  
 Fax: +65-659-71700

### Clearstream Banking Tokyo Representative Office

Toranomon 4-chome MT Building II  
 Floor 9  
 4-2-12 Toranomon  
 Minato-ku  
 Tokyo 105-0001  
 Japan

Tel: +81-(0)3-3433-1787  
 Fax: +81-(0)3-3433-1795

## Guidelines

### How to fill in the Client Application Form

#### Country of residence

The address and contact details of the Company's registered Head Office. The legal contact name will be used by CBL to send notices or agreements to the Company if no other contact name was provided to your Relationship Manager.

#### Country of operation

The address and contact details of the Company's registered branch for which the contractual relationship will apply (if different from the country of residence).

#### Mailing address

This address will be used by CBL for sending invoices.

#### 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 can be found on the BCL website [www.bcl.lu/en](http://www.bcl.lu/en). Click on Regulatory Reporting in the left-hand navigation bar and choose your company's status. Then, under the bullet point Instructions, go to Definitions and concepts [...].

## Guidelines

### Authorised signatures lists

CBL respectfully reminds clients to provide written notification of deletions or modifications to signatures without delay, in accordance with Article 34 of CBL's General Terms and Conditions.

#### Checklist of information required

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 signature of the signatories in wet-ink or electronically signed with digital certificate;
- Signatures regulations that correspond to activities with CBL (singly, jointly, A+A, A+B, ...);
- Date of validity of the list of authorised signatures.

#### 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 CBL.

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.

CBL 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

CBL can accept signature lists submitted in the following formats:

- Original printed lists;
- Certified photocopies;
- SignatureNet;
- Internet websites (website of client only, with no third party intervention);

### Specific standards

For compliance reasons, there are particular authentication requirements for authorised signature lists/updates that are issued specifically for CBL including CBL specimen signature forms:

- All pages must be numbered, dated, and signed by a company director or other officer (two if acting jointly) authorised to appoint signatories.
- Adequate proof of this authority must be attached, for example, an extract of the Board resolution appointing the said director(s) or officer(s), and it must be clear that they are entitled to appoint signatories.
- All of these documents must be duly certified, either separately or together as one package.

**Note:** Certification must be done by a competent authority, either under Luxembourg regulation or the national regulation of the client's jurisdiction (such as notary, police officer, embassy, or a government administration such as the mayor's office). Proof of the competence of an authority that is not under Luxembourg regulation must be attached.

### Unacceptable standards

CBL cannot accept signature lists submitted in the following formats:

- CD-Roms;
- Extracts;
- Facsimiles;
- Microfiches;
- 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 CBL.