

# Client Application Form

We, the undersigned, representing,  
hereby apply to become a client of  
Clearstream Banking AG ("CBF")

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 or CIF number (mandatory if country of operations is based in a European Union Member State)

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)

## Ownership structure

State the names of major shareholders, holding 10% or more of capital<sup>1</sup>:

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

## Reference contact

Name and address of an institution that may be contacted to provide a reference if requested:

Institution		
Department	Attention	
Address		
City	Post code	Country
Tel	Fax	
Email		

1. If an individual shareholder ultimately owns more than 25% interest in the prospective client, then that party is treated as a beneficial owner for the purpose of due diligence.  
In the case of individual shareholders, please provide certified true copies and valid identification documents (passport or identity card).  
Certified copies to be made by a competent authority under German regulation or under the national regulation of the applicant's jurisdiction (example: notary, embassy, police).

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

- If fewer than 5 persons are registered in the commercial register/public register, please enter the name of the person(s) who has/have power of disposal with respect to CBF in the table below (no more than 5 names), irrespective of the persons who are registered in the commercial register/public register.

Name	Date and place of birth	Address
1		
2		
3		
4		
5		

If the authority granted to any of the above-mentioned persons should be revoked, we undertake to provide CBF with the name of another authorised person together with the relevant data in as far as there are at least 5 authorised persons with power of disposal in total.

**Note:** With this table, please, enclose copies of the personal identity cards, passports or the equivalent proof of identity of an official nature for the authorised persons whose names are given above and for the persons who have given specimens of their signatures on the form provided for this purpose, if these are different persons.

Please ensure that we receive a copy of the extended/renewed identity documents/identity card/passport when these documents expire. For persons who are to be granted power of disposal with respect to CBF, as set out above or in any other way under the business relationship, and whose entitlement is not evidenced by registration in an official register, a power of attorney must be submitted which has been authorised by a person with rights of representation according to the provisions set out above and the applicant's internal guidelines.

Please inform your Relationship Officer 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 CBF and hereby give power of attorney to these external service providers to collect from CBF 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** CBF will have recourse to an external service provider concentrating the provision of SAP application support services to CBF 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 CBF 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 CBF to us as client.

**Acceptance of CBF's General Terms and Conditions of Business** We have taken notice of CBF's General Terms and Conditions and acknowledge their validity (as amended from time to time) for our ongoing business relations with CBF. We hereby undertake to notify CBF 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 CBF as well as to submit an up-to-date specimen signature form once a year. We hereby undertake to provide CBF 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 CBF 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 Officer:

- |     |                                                                                                                                                                                                                                                                                                                                                                                            |                                               |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|
| 1.  | The <a href="#">CASCADE Main Account Application Form</a> and/or the <a href="#">Creation Account Application Form</a> , duly filled in and signed                                                                                                                                                                                                                                         | Original(s) needed                            |
| 2.  | The <a href="#">Articles of Association</a> (or appropriate substitute) and, if the articles are not available in English or German, a legal English translation                                                                                                                                                                                                                           | Original or certified <sup>2</sup> copy       |
| 3.  | The <a href="#">Banking License or Business Licence</a> (as a professional of the financial sector) and, if this License is not available in English or German, a legal English translation                                                                                                                                                                                                | Original or certified <sup>2</sup> copy       |
| 4.  | The Extract from the <a href="#">Company's Register</a> and, if this Extract is not available in English or German, a legal English translation                                                                                                                                                                                                                                            | Original or certified <sup>2</sup> copy       |
| 5.  | An up-to-date official <a href="#">list of authorised signatures</a> (unless your company provides authorised signatures via the web-based platform SignatureNet)                                                                                                                                                                                                                          | Original or certified <sup>2</sup> copy       |
| 6.  | 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 (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) | Copy, original or certified <sup>2</sup> copy |
| 7.  | The " <a href="#">Invoicing</a> " form, duly filled in and signed                                                                                                                                                                                                                                                                                                                          | Original needed                               |
| 8.  | The " <a href="#">Client Specimen Signature Form</a> ", duly filled in and signed (unless your company provides authorised signatures via the web-based platform SignatureNet)                                                                                                                                                                                                             | Original needed                               |
| 9.  | 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 business), duly filled in and signed                                                                                                                                                                | Original needed                               |
| 10. | The <a href="#">FATCA self-certification form</a> , duly filled in and signed                                                                                                                                                                                                                                                                                                              | Original needed                               |
| 11. | The <a href="#">Entity tax residency self-certification form</a> , duly filled in and signed                                                                                                                                                                                                                                                                                               | Original needed                               |
| 12. | The <a href="#">Controlling Persons tax residency self-certification form</a> , duly filled in and signed                                                                                                                                                                                                                                                                                  | Original needed                               |
| 13. | Depending on the intended purpose of the account(s) <a href="#">additional forms might apply</a>                                                                                                                                                                                                                                                                                           | Original(s) needed                            |

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

### Clearstream contact details

Clearstream Banking Frankfurt<sup>3</sup>  
Mergenthalerallee 61  
65760 Eschborn  
Germany

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

2. Certified copies of company documentation (articles, license, extract of register) to be made by a competent authority under German regulation or under the national regulation of the applicant's jurisdiction (such as notary, embassy, police officer). Proof of the competence of an authority that is not under German regulation must be attached.

3. Postal addresses of other Clearstream locations are available from [www.clearstream.com](http://www.clearstream.com) under About Clearstream / Who we are / [Office Locations](#).

## 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](http://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 CBF 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 CBF. For that reason CBF 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 CBF (singly, jointly, A+A, A+B, ...);
- Date of validity of the list of authorised signatures.

**General standards:** CBF can accept signature lists submitted in the following formats:

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

**Unacceptable standards:** CBF 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 CBF.