

# CASCADE Sub-Account Application Form

We, the undersigned, representing,  
hereby request  
Clearstream Banking AG ("CBF") to  
open a sub-account to main account

Registered Company name (in full)

Main account number

Field to be completed by CBF

## Account type

(please select one account type only)

Accounts pledged in favour of Eurex Clearing AG<sup>1</sup>

- Elementary Clearing Model - Proprietary collateral<sup>2</sup>
- Elementary Clearing Model - Client collateral
- Elementary Clearing Model<sup>2</sup> - Client Assets Sourcebook (CASS) transactions
- Individually segregated clients<sup>2</sup> - Individually Segregated Accounts (ISA)
- Individually segregated clients<sup>2</sup> - ISA-CASS Transactions
- ISA Direct Clearing Member collateral<sup>3,4</sup> \_\_\_\_\_

Accounts with title transfer in favour of Eurex Clearing AG<sup>1</sup>

- /501 Default fund contribution
- Default fund contribution regarding ISA Direct Clearing Member<sup>4</sup>
- Default fund contribution regarding multiple ISA Direct Clearing Members<sup>4</sup>
- /580 Company capital
- Individually segregated clients<sup>2</sup> (ISA)

Accounts pledged in favour of Eurex Clearing AG (U.S. Clearing Members only)<sup>5</sup>

OTC IRS transactions:

- FCM CFTC 22 LSOC client margin collateral
- FCM proprietary margin collateral

Exchange-traded derivative transactions:

- FCM CFTC 30.7 margin collateral
- FCM proprietary margin collateral
- PTG affiliate margin collateral
- PTG margin collateral

We acknowledge that CBF makes no statement nor provides any advice as to the applicability, effectiveness or validity of any clearing model of Eurex Clearing AG or its terminology and agree that CBF shall not be held liable, in this respect.

1. Accounts in favour of Eurex Clearing AG can in general be in the name of the Clearing Member, Clearing Agent, ISA Direct Clearing Member or an entitled Third Party Account Holder. For further information please contact your Eurex Clearing Key Account Manager.  
2. Asset tagging can be used.  
3. Please specify the 5-digit Eurex Clearing AG member code.  
4. Reference to the ISA Direct Clearing Member should be applicable equally to the Indemnified Clearing Model.  
5. FCM (Future Commission Merchant); CFTC (U.S. Commodity Futures Trading Commission); LSOC (Legally Segregated Operationally Commingled); PTG (Proprietary Trading Group).

**Account type**

(please select one account type only)

- /560 Sub-account for the provision of collateral in the context of new obligation monitoring procedure
- /699 Pledge account providing collateral to secure overdraft facilities with reference to CBF-i account<sup>6</sup> \_\_\_\_\_
- Trustee blocked account
- Other account

Reason for opening an account (for other account)

**Sub-account name**

(Account type may affect account name structure)

**Usage for assets**

(please select the appropriate category)

- For proprietary assets
- For third party assets – Segregated<sup>7</sup>:

For segregated third party assets, please indicate the details of the underlying client (to be recorded in the CBF business partner register):

Underlying client name

Country

- For third party assets – Omnibus<sup>8</sup>:

The Omnibus account is used to co-mingle the interests of several underlying clients with no single entity/individual having a predominant and continuing interest in the assets portfolio.

**Delivery versus payments (DvP)<sup>9</sup>**

- We wish to participate with the requested sub-account in DvP.<sup>10</sup>
- We do **not** wish to participate with the requested sub-account in DvP.

6. CBF-i accounts are the 6-series accounts on the Creation platform, which are technically and legally independent and governed by German law.

7. Subject to prior approval by CBF.

8. Omnibus accounts for third party assets are intended to facilitate the operations of professional securities intermediaries. CBF may require disclosure of the identities of any underlying clients having a continuing interest of 25% or more in the value of the assets deposited. In cases where there is such a predominant interest, the assets may be deposited on a separate, segregated client account.

9. Please refer to the "Cash Settlement" section of the CBF Customer Handbook available on our website [www.clearstream.com](http://www.clearstream.com).

10. DvP is required for T2S Auto-Collateralisation.

### T2S Auto-Collateralisation (T2S Auto-Coll) Service

(Please configure the service on the T2S platform.)

In order to be able to use this service:

- The use of the T2S Auto-Coll Service at the national central bank (NCB) must be requested.
- The BIC of each Collateral Providing Account must be added to the Primary Credit Memorandum Balance (CMB) of the corresponding DCA<sup>11</sup>.
- An individual minimum amount for T2S Auto-Coll instructions can be specified at the national central bank (NCB).

T2S Auto-Coll Service is requested.

To set up the T2S Auto-Coll Service on the T2S platform, the account must be earmarked. Please select one of the following earmarking options:

- EXXX (T2S Auto-Coll Service for all currencies – recommended)
- EEUR (T2S Auto-Coll Service for Euro only – cannot be used if the account will also serve as a Collateral Receiving Account for T2S Client-Collateralisation)

In order to enable the T2S Auto-Coll Service, please enter the DCA for the sub-account:

\_\_\_\_\_ - \_\_\_\_\_  
 DCA reference NCB acting as T2S Auto-Coll Receiver (DE, AT, FR etc.)

T2S Auto-Coll Service is not requested.

This service can be configured at any time in the future. If requested, a transformation procedure involving the T2S Actors applies.

### Free of Payment Matching<sup>12</sup>

(If T2S Auto-Coll Service is requested, only active matching is possible.)

Please answer for both, retail and wholesale:

- Retail:  Active matching (default option)  Passive matching
- Wholesale:  Active matching (default option)  Passive matching

### Users of the DCP Account Operator Model

The newly requested sub-account is to be included in the DCP Account Operator Model.

\_\_\_\_\_ CBF account master of the Operator Party

The newly requested sub-account should **not** to be included in the DCP Account Operator Model.

### Acknowledgement

We/I, the undersigned, acknowledge receipt of CBF's General Terms and Conditions as amended from time to time and hereby confirm our/my acceptance to be bound by its terms and conditions.

### Settlement fails penalties

In context of the CSDR "Settlement Discipline Regime" penalties, we/I take necessary and timely action to ensure the relevant daily/monthly CBF penalties reporting will be actively subscribed to prior the new account usage. If there are questions, CBF Connectivity will be contacted.

11. Customers can carry out their NCB configuration using the 7100 (for DCPs) / 7150 (for ICPs) forms.

12. Please refer to our website [www.clearstream.com](http://www.clearstream.com) under Products and Services / Settlement / Settlement services / CSD CASCADE FOP matching.

Authorised signature(s)

Signature	Signature
Name	Name
Title	Title
Place	Place
Date	Date