

Deposit/Account number: _____

BAADER

Baader Bank Aktiengesellschaft
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85716 Unterschleißheim
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service@baaderbank.de
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Please return duly signed to:

Baader Bank Aktiengesellschaft
Client Service Group
Weißenstephaner Strasse 4
85716 Unterschleißheim
Germany

* Free telephone number from international and national landlines. Costs may be incurred for calls from other networks.

Business Partner Application

1. Key information of business partner

Company name 1: _____
Company name 2: _____
SWIFT code: _____
Legal form: _____
Industry: _____
Company head office
Street/no.: _____
Additional address: _____
Postcode: _____ Place: _____
Country: _____

Telephone: _____ Fax: _____

E-Mail: _____

Register information and Legal Entity Identifier (LEI)

Trade register Register of Cooperatives

Register of Associations Other: _____

Seat of register court: _____

Register excerpt number: _____

Date of register entry: _____

Legal Entity Identifier: _____

Supervisory authority (if applicable): _____

Identification number with the supervisory authority: _____

Information on parent company (if applicable)

Name of the controlling parent company (provide proof): _____

Equity capital of the parent company (provide proof): _____

Key date (equity capital): _____

Assets under Management (AuM) of the parent company (provide proof): _____

Key date (AuM): _____

2. Purpose / type of business relationship

Baader Helvea Equity Research (GSA region)

Baader Europe (powered by AlphaValue)

Capital Market Services

Trading in:

Equities/bonds

Funds/ETF

Derivatives

Promissory note loans

Other (Please specify) _____

3. Company representatives

3.1 First company representative

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

PEP characteristic¹

¹ The PEP (politically exposed person) characteristic for any natural person must be clarified. Please mark with a cross if you are a member of parliament/diplomat/high-ranking officer in the military/embassies or a member of the administrative, management and supervisory bodies of state companies or have been in the past 12 months. Please also mark with a cross if you are a family member of a PEP or a close associate of a PEP. Please see the definitions on the last page.

3.2 Second company representative

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

PEP characteristic¹

3.3 Third company representative

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

PEP characteristic¹

3.4 Fourth company representative

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

PEP characteristic¹

In the case of other representative bodies, please specify these, including the above-mentioned information:

4. Economic beneficiary

Information regarding the (notional) economic beneficiary of the contracting partner (please see definitions on the last page)

4.1 First (notional) beneficial owner

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

Share in %: _____

PEP characteristic¹

4.2 Second (notional) beneficial owner

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

Share in %: _____

PEP characteristic¹

4.3 Third (notional) beneficial owner

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

Share in %: _____

PEP characteristic¹

4.4 Fourth (notional) beneficial owner

Ms Mr Title: _____

Forename: _____

Surname: _____

Birth name: _____

Date of birth: _____

Nationalities: _____

Street/no.: _____

Postcode: _____ Place: _____

Country: _____

Share in %: _____

PEP characteristic¹

5. Contact persons

Backoffice:

Ms Mr Title: _____
 Forename: _____
 Surname: _____

Group E-Mail: _____
 E-Mail: _____
 Telephone: _____

Escalation contact /Settlement:

Ms Mr Title: _____
 Forename: _____
 Surname: _____

Group E-Mail: _____
 E-Mail: _____
 Telephone: _____

Trading:

Ms Mr Title: _____
 Forename: _____
 Surname: _____

Group E-Mail: _____
 E-Mail: _____
 Telephone: _____

Compliance:

Ms Mr Title: _____
 Forename: _____
 Surname: _____

Group E-Mail: _____
 E-Mail: _____
 Telephone: _____

6. Transaction confirmations

List of recipients

Forename	Surname	E-mail	Individual confirmation	Collective confirmation	End-of-Day Report
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Alternatively: Transaction confirmation via Omgeo/CTM.
 If requested, please provide BIC:

7. Declaration of consent

7.1 Agreement on the execution principles of the Bank

I/We agree with the policies of the Bank governing the execution of orders.

The Bank has delivered their "Policies governing the execution of orders in financial instruments" in text form.

7.2 Limited client orders

In those cases in which limited client orders in shares, admitted for trading on an organized market or traded on a trading venue, cannot be executed immediately due to market conditions, the bank is not obliged to publish these orders with the associated limit. Unless otherwise instructed by the client, the bank will always forward client orders immediately after receipt and verification to a MiFID II trading venue, which complies with the requirements of Article 70 (1) of Delegated Regulation (EU) 2017/565. In this respect, the disclosure requirement is fulfilled.

7.3 Order execution outside a regulated market or multilateral trading facilities (MTF)

I/We hereby confirm that the Bank may also execute an order outside the regulated market or multilateral trading facilities.

7.4 I/we agree with the aforementioned items 7.1 to 7.3.

8. Documents required

- Current commercial register extract (not older than 6 months)
- Articles of Association/partnership agreement (or equivalent documents) of the company
- Proprietary structure (incl. economic beneficiary)
- List of authorised signatures
- List of authorised traders (incl. ID/passport copies)
- Annual financial statements of the company (over the past two years)
- Current standard settlement instructions (SSI)
- Wolfsberg AML-Questionnaire
- Proof of current Assets under Management (not older than 12 months)
- Corporate structure (incl. ownership structure)
- Extract from the transparency register (Only if notifiable in Germany /Not older than 6 months)

Evidence (if applicable) of

- Supervision by a financial supervisory authority of the European Union or equivalent non-EU country
- Listing on an organised market
- Status as (domestic or European) authority, public management/company

9. Signature

Place, date: _____

Place, date: _____

x

Signature/company stamp

x

Signature/company stamp

Definitions

- **Equivalent third country**

These third countries are currently considered as equivalent:

- Australia
- Hong Kong
- Japan
- Canada
- South Korea
- Switzerland
- Singapore
- The United States of America

- **Beneficial Owner**

An economic beneficiary is in principle any **natural person** who directly or indirectly controls **more than 25%** of the voting rights or exercises control in a comparable way (e.g. a personally liable shareholder of a Gesellschaft bürgerlichen Rechts [company under civil law]). Indirect control applies in particular if the natural person exerts a controlling influence over the business partner as defined by the German Commercial Code (HGB).

If no economic beneficiary exists or is identifiable, the legal representative, managing partner or partner of the contracting partner must be recorded as the "notional economic beneficiary". If several persons fulfil the definition of notional economic beneficiary (e.g. several members of the Board of Directors), registering one person is sufficient.

For incorporated foundations and legal constructions which administer or distribute assets in a fiduciary capacity, or entrust third parties with such, special provisions shall apply for the determination of the economic beneficiary. In these cases, we will contact you directly.

If the contracting partner is a corporation listed on a organised market, no information on the (notional) economic beneficiary must be provided.

- **Politically exposed person (PEP)**

§ 1 (12) et seq. Geldwäschegesetz [German Money Laundering Act] defines politically exposed persons as follows: Politically exposed persons are those natural persons

- 1) who are or who have been entrusted with a high-ranking prominent public function within the last twelve months,
- 2) as well as their immediate family members,
- 3) or persons known to be a close associate of them.

For 1), persons who are or who have been entrusted with a prominent public function within the last twelve months, are as follows:

- heads of state, heads of government, ministers, members of the European Commission, deputy ministers and assistant ministers,
- members of parliament and members of similar legislative organs,
- members of the governing bodies of political parties,
- members of supreme courts, of constitutional courts or other high-level judicial bodies, the decisions of which are usually not subject to further appeal,
- members of the boards of courts of audit,
- members of the boards of central banks,
- ambassadors, chargés d'affaires and defence attachés,
- members of the administrative, management or supervisory bodies of state-owned enterprises,
- directors, deputy directors, members of the board or other managers with a comparable function in an international or European intergovernmental organisation.

For 2), immediate family members are as follows:

- the spouse or civil partner,
- a child and the child's spouse or civil partner,
- both parents.

For 3), a person known to be a close associate means

- any natural person who is known to be the economic beneficiary of an association or legal arrangement with a politically exposed person or who has any other close business relationships with that person.
- any natural person who is the sole economic beneficiary of an association or legal arrangement for which there must be reason to assume that it was established for the de facto benefit of a politically exposed person.

- **Companies listed on an organised market**

These include listed companies, provided that

- their securities are admitted to trading on an organised market within the meaning of Article 44 (1) of Directive 2014/65/EU (MiFID II) **or**
- their securities are admitted to trading on an organised market in a non-EU country that is subject to transparency requirements in accordance with Community law with regard to the share of voting rights or equivalent international standards.

Subsidiaries for these listed companies are also excluded, provided that

- the latter holds more than 50% of equity shares or voting rights of the subsidiary **and**
- there is no other economic beneficiary.

This also applies if the subsidiary itself is not listed.