Form for Opening Accounts/Custody Accounts
(Contracting party is a natural person)

Further	infor	mation	pur	suant
to the G	wG1.	KWG ²	and	AO^3

Account/custody account holder:	
Account/custody account no.:	

ıo	tile C	WO, KWO and AO		
				n required under the GwG, KWG and AO on the "legal person" contracting neficial owners or fictitious beneficial owners.
Na	ture an	d purpose of business relationship		
Payments (e. g. current account)			other:	
	☐ Lending			
		on of the acting person ¹⁶ and the l		
	any thir	d party (particularly not as a trustee); further verification re	icial owner and acting person at the same time – and not at the behest of quired under Person 1 in the "Other processing information" section.
	form 41	1.522 for recording further information	on on legal persons pur	
		cting at the behest of the following cosing information" section.	ontracting party – acting	g person; further verification required under Persons 2-4 in the "Other
2 Surname, first name (also name at birth) Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶			′, Date of birth, Place of birth, Nationality⁵, German TIN⁵	
3 Surname, first name (also name at birth) Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German T		, Date of birth, Place of birth, Nationality⁵, German TIN⁵		
	4 Surname, first name (also name at birth) Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		7, Date of birth, Place of birth, Nationality⁵, German TIN⁵	
		cting at the behest of beneficial owners in the "Other processing information		ffering from the contracting party; further verification required under Per-
	5	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶	
	6	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶	
	7 Surname, first name (also name at birth) Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		7, Date of birth, Place of birth, Nationality⁵, German TIN⁵	
	8	Surname, first name (also name at birth)	Residential address	r, Date of birth, Place of birth, Nationality⁵, German TIN⁵

Duty of the account/custody account holder to cooperate under the GwG

The account/custody account holder is obligated to provide the information and records necessary for clarification of beneficial owners. Further information under tax law should be recorded on form **41.350** and included in the account-opening file. The account/custody account holder must immediately report to the Bank any changes in the mandatory information provided to it that may arise in the course of the business relationship.

Dlago	data	aianatura of	account/custody	/ account	holder
гіасе.	uale.	Sidilature or	account/custous	account	Holdel

Ausfertigung für die Bank (Copy for the Bank)

Other processing information

Type of verification⁸

account/custody account holder, acting person¹⁶, differing beneficial owners.

A separate form should be completed for each differing beneficial owner.

Person 1

Type of verification	Also recorded due to type of verification			
document-based:				
by own employees	☐ Copy/scan of identity document ¹¹			
performed by eligible third parties in Germany ⁹	Type of document			
performed by eligible third parties abroad¹0				
Remote identification by document- based means of identification on from notified identification scheme under eIDAS Regulation	Document no.			
	Issuing authority			
☐ via Videoident (video identification) procedure in accordance with	☐ Copy/scan of identity document ¹¹			
BaFin Circular 3/2017	Type of document			
	Document no.			
	Issuing authority			
	Storage of identification process video (video and audio) ¹²			
purely digital:	T_			
Remote identification by QES as per eIDAS Regulation	QES validation data, plus reference credit transfer received from account within EEA or from third country with comparable AML/CFT standard ¹³			
	No.:			
	on			
Remote identification by eID ¹⁴	Service and card-specific identifiers			
Remote identification by <u>non</u> -document-based means of identification from notified identification scheme under eIDAS Regulation	Recording in accordance with notified identification scheme under eIDAS Regulation whose means of identification was used, namely:			
C othor:				
other:	other:			
PEP status¹⁵ of contracting party: ☐ has been clarified ☐ will be clarified of beneficial owner: ☐ has been clarified ☐ will be clarified	before initial account access before initial account access			
Place, date Signature of bank employee	Place, date Signature of bank employee			
☐ Newly opened Withdrawal notice for savings deposits:	Additional processing information			
account withdrawar notice for savings deposits.	radiation processing information			
Alteration of				
account				
	Place, date			
	Signature of bank employee			

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Type of verification	Also recorded due to type of verification			
document-based:				
by own employees	☐ Copy/scan of identity document ¹¹			
performed by eligible third parties in Germany ⁹	Type of document			
performed by eligible third parties abroad ¹⁰				
Remote identification by document- based means of identification on from notified identification scheme under eIDAS Regulation	Document no.			
	Issuing authority			
☐ via Videoident (video identification) procedure in accordance wi	th Copy/scan of identity document ¹¹			
BaFin Circular 3/2017	Type of document			
	Document no.			
	Issuing authority			
	Storage of identification process video (video and audio) ¹²			
purely digital:				
☐ Remote identification by QES as per elDAS Regulation	☐ QES validation data, plus reference credit transfer received from account within EEA or from third country with comparable AML/CFT standard¹³			
	No.:			
	on			
Remote identification by eID ¹⁴	Service and card-specific identifiers			
Remote identification by non-document-based means of identification from notified identification scheme under eIDAS Regulation	Recording in accordance with notified identification scheme			
other:	other:			
PEP status¹⁵ of contracting party:				
Place, date	Place, date			
Signature of bank employee	Signature of bank employee			
□ Newly opened account Withdrawal notice for savings deposits: □ Alteration of account Output	Additional processing information			
	Place, date Signature of bank employee			

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Type of verification	Also recorded due to type of verification			
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Remote identification by document- based means of identification from notified identification scheme under eIDAS Regulation	Document no.			
	Issuing authority			
via Videoident (video identification) procedure in accordance with	Copy/scan of identity document ¹¹			
BaFin Circular 3/2017	Type of document			
	Type of accument			
	Document no.			
	Issuing authority			
	Storage of identification process video (video and audio) ¹²			
purely digital:				
Remote identification by QES as per elDAS Regulation	QES validation data, plus reference credit transfer received from			
Themote identification by QL3 as per elbA3 Negulation	account within EEA or from third country with comparable AML/			
	CFT standard ¹³			
	No.:			
	on			
Remote identification by eID ¹⁴	☐ Service and card-specific identifiers			
Remote identification by <u>non</u> -document-based means of identifi-	☐ Recording in accordance with notified identification scheme			
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was			
	used, namely:			
	_			
other:	other:			
DED -t-t15	On any far any and the of date !!			
PEP status¹⁵ of contracting party: ☐ has been clarified ☐ will be clarified	Space for any update of details recorded			
of beneficial owner: has been clarified will be clarified	a bololo lililar account account			
or periodical owner.				
Place, date	Place, date			
Signature of bank employee	Signature of bank employee			
☐ Newly opened Withdrawal notice for savings deposits:	Additional processing information			
account withdrawar hotice for savings deposits.	, taking in proceeding information			
☐ Alteration of				
account				
	Place, date Signature of bank employee			

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Type of verification	Also recorded due to type of verification			
document-based:				
by own employees	☐ Copy/scan of identity document ¹¹			
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performed by eligible third parties abroad¹o				
Remote identification by document- based means of identification from notified identification scheme under eIDAS Regulation	Document no.			
	Issuing authority			
☐ via Videoident (video identification) procedure in accordance with	Copy/scan of identity document ¹¹			
BaFin Circular 3/2017	Type of document			
	Document no.			
	Issuing authority			
	Storage of identification process video (video and audio) ¹²			
purely digital:	I			
Remote identification by QES as per elDAS Regulation	☐ QES validation data, plus reference credit transfer received from account within EEA or from third country with comparable AML/ CFT standard ¹³			
	No.:			
	on			
Remote identification by eID ¹⁴	Service and card-specific identifiers			
Remote identification by non-document-based means of identifi-	Recording in accordance with notified identification scheme			
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was used, namely:			
□ other:	☐ other:			
DED status 16				
PEP status¹⁵ of contracting party: ☐ has been clarified ☐ will be clarified	Space for any update of details recorded			
	before initial account access			
Place, date	Place, date			
Signature of bank employee	Signature of bank employee			
Newly opened Withdrawal notice for savings deposits:	Additional processing information			
Alteration of				
account				
	Place, date Signature of bank employee			

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Type of verification	Also recorded due to type of verification		
document-based:			
by own employees	☐ Copy/scan of identity document ¹¹		
performed by eligible third parties in Germany ⁹	Type of document		
performed by eligible third parties abroad¹o			
Remote identification by document- based means of identification from notified identification scheme under eIDAS Regulation	Document no.		
	Issuing authority		
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BaFin Circular 3/2017	Type of document		
	Document no.		
	Issuing authority		
	Storage of identification process video (video and audio) ¹²		
purely digital:	I		
Remote identification by QES as per elDAS Regulation	☐ QES validation data, plus reference credit transfer received from account within EEA or from third country with comparable AML/ CFT standard ¹³		
	No.		
	No.:		
Remote identification by eID ¹⁴	on Service and card-specific identifiers		
Remote identification by non-document-based means of identifi-	Recording in accordance with notified identification scheme		
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was used, namely:		
□ other:	other:		
DED status 16			
PEP status¹⁵ of contracting party: ☐ has been clarified ☐ will be clarified	Space for any update of details recorded		
	before initial account access		
Place, date	Place, date		
Signature of bank employee	Signature of bank employee		
Newly opened Withdrawal notice for savings deposits:	Additional processing information		
Alteration of			
account			
	Place, date Signature of bank employee		

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Type of verification	Also recorded due to type of verification		
document-based:			
by own employees	Copy/scan of identity document ¹¹		
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BaFin Circular 3/2017	Type of document		
	Document no.		
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purely digital:			
Remote identification by QES as per elDAS Regulation	QES validation data, plus reference credit transfer received from		
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	No.:		
	on		
Remote identification by eID ¹⁴	Service and card-specific identifiers		
Remote identification by non-document-based means of identifi-	Recording in accordance with notified identification scheme		
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was used, namely:		
☐ other:	other:		
PEP status¹⁵ of contracting party:			
Place, date Signature of bank employee	Place, date Signature of bank employee		
Newly opened Withdrawal notice for savings deposits:	Additional processing information		
account Alteration of account	Additional processing information		
	Place, date Signature of bank employee		

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	No.:		
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Remote identification by eID ¹⁴	Service and card-specific identifiers		
Remote identification by non-document-based means of identifi-	Recording in accordance with notified identification scheme		
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was used, namely:		
☐ other:	other:		
PEP status¹⁵ of contracting party:			
Place, date Signature of bank employee	Place, date Signature of bank employee		
Newly opened Withdrawal notice for savings deposits:	Additional processing information		
account Alteration of account	Additional processing information		
	Place, date Signature of bank employee		

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document-based:			
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performed by eligible third parties in Germany ⁹	Type of document		
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Remote identification by document- based means of identification from notified identification scheme under eIDAS Regulation	Document no.		
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BaFin Circular 3/2017	Type of document		
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Remote identification by <u>non</u> -document-based means of identifi-	☐ Recording in accordance with notified identification scheme		
cation from notified identification scheme under eIDAS Regulation	under eIDAS Regulation whose means of identification was		
	used, namely:		
	_		
other:	other:		
DED -t-t15	On any far any and the of date the		
PEP status¹⁵ of contracting party: ☐ has been clarified ☐ will be clarified	Space for any update of details recorded		
of beneficial owner: has been clarified will be clarified	a bololo lililar account account		
or periodical owner.			
Place, date	Place, date		
Signature of bank employee	Signature of bank employee		
☐ Newly opened Withdrawal notice for savings deposits:	Additional processing information		
account withdrawar hotice for savings deposits.	, taking in proceeding information		
☐ Alteration of			
account			
	Place, date Signature of bank employee		

'Geldwäschegesetz (GwG) = German Anti-Money Laundering Act. ²Kreditwesengesetz (KWG) = German Banking Act. ³German Fiscal Code (Abgabenordnung). Persons with right of disposal are recorded and verified on the respective form for power of attorney. ⁴Beneficial owner(s) is/are always the natural person(s) at whose behest the account/custody account is ultimately opened. Where such beneficial ownership arises indirectly, e.g. through a company, the information should be recorded on one of the forms provided for this purpose: 41.522 (Trust/foundation or comparable legal form) or separately. ⁵US nationality must always be indicated (additionally, where necessary) (German FATCA Implementing Regulation = FATCA-USA-Umsetzungsverordnung). ⁵Tax Identification Number (must be indicated as of 1.1.2018 where allocated by the German Federal Central Tax Office (Bundeszentralamt für Steuern (BZStJ)). ⁵Residential address in Germany should be indicated first. Where there is no fixed abode with lawful residence in the EU and identity is verified in the course of conclusion of a 'basic account' agreement, the postal address at which the contracting party and the person acting on behalf of the contracting party may be reached should be indicated. ⁵The term 'verification' used in the forms covers identification pursuant to the German Anti-Money Laundering Act (GwG) and the German Fiscal Code (AO) ⁹e.g. Postident procedure. ¹⁹e.g. by German Foreign Chambers of Commerce. ¹¹The copy of the identity document must cover the part of the document of relevance for identification purposes. ¹²The video identification process must be stored for five years after termination of the business relationship. ¹⁵For whether a comparable AML/CFT standard applies in certain third countries, see internal risk analysis. ¹⁶elD (electronic identification) by German identity card or German electronic residence permit. ¹⁵PEP = politically exposed person; PEP status must be clarified for every natural person – both for the contract

Form for Opening Accounts/Custody Accoun
(Contracting party is a natural person)

Further	infor	mation	pur	suant
to the G	wG1,	KWG ²	and	AO^3

Account/custody account holder:	
Account/custody account no.:	

				n required under the GwG, KWG and AO on the "legal person" contracting neficial owners or fictitious beneficial owners.	
Na	iture an	d purpose of business relationship			
	Invest			other:	
any third party (particularly not as a trustee); further verificatio I am acting at the behest of legal persons differing from the conform 41.522 for recording further information on legal persons				icial owner and acting person at the same time – and not at the behest of quired under Person 1 in the "Other processing information" section. In a party, controlling at least 25% of the contracting party: please use suant to the GwG, KWG and AO. In a person; further verification required under Persons 2-4 in the "Other"	
	2	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		
	3	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		
	4	Surname, first name (also name at birth)	Residential address ⁷	, Date of birth, Place of birth, Nationality⁵, German TIN⁵	
☐ I am acting at the behest of beneficial owners (natural persons) differing from the contracting party; further verif sons 5-8 in the "Other processing information" section.				ffering from the contracting party; further verification required under Per-	
	5	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁶ , German TIN ⁶ Residential address ⁷ , Date of birth, Place of birth, Nationality ⁶ , German TIN ⁶		
	6	Surname, first name (also name at birth)			
	7	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		
	8	Surname, first name (also name at birth)	Residential address ⁷ , Date of birth, Place of birth, Nationality ⁵ , German TIN ⁶		

Duty of the account/custody account holder to cooperate under the GwG

The account/custody account holder is obligated, to provide the information and records necessary for clarification of beneficial owners. Further information under tax law should be recorded on form **41.350** and included in the account-opening file. The account/custody account holder must immediately report to the Bank any changes in the mandatory information provided to it that may arise in the course of the business relationship.

Place, date, signature of account/custody account holder

Ausfertigung für den Kunden (Copy for the customer)