

**Further information pursuant
to the GwG¹, KWG² and AO³**

This form serves to collect and evidence verification⁷ of the information required under the GwG, KWG and AO on the “legal person” contracting party, the person acting on behalf of the contracting party, and the beneficial owners or fictitious beneficial owners.

| | |
|---|---------------------------------|
| Nature and purpose of business relationship | |
| <input type="checkbox"/> Payments (e. g. current account) | <input type="checkbox"/> other: |
| <input type="checkbox"/> Investment | |
| <input type="checkbox"/> Lending | |

Clarification of the acting person¹⁶ and the beneficial owners⁴

- ☐ I am acting in my own economic interest – contracting party, beneficial owner and acting person at the same time – and not at the behest of any third party (particularly not as a trustee); further verification required under Person 1 in the “Other processing information” section.
- ☐ I am acting at the behest of legal persons differing from the contracting party, controlling at least 25% of the contracting party: please use form **41.522** for recording further information on legal persons pursuant to the GwG, KWG and AO.
- ☐ I am acting at the behest of the following contracting party – acting person; further verification required under Persons 2-4 in the “Other processing information” section.

| | | |
|---|---|--|
| 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, Nationality ⁵ , German TIN ⁶ |

- ☐ I am acting at the behest of beneficial owners (natural persons) differing from the contracting party; further verification required under Persons 5-8 in the “Other processing information” section.

| | | |
|---|---|--|
| 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 |
| 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

Type of verification⁸

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

Person 1

| Type of verification | Also recorded due to type of verification |
|--|---|
| <input type="checkbox"/> document-based: | |
| <input type="checkbox"/> by own employees <input type="checkbox"/> performed by eligible third parties in Germany ⁹ <input type="checkbox"/> performed by eligible third parties abroad ¹⁰ <input type="checkbox"/> Remote identification by document- based means of identification from notified identification scheme under eIDAS Regulation | <input type="checkbox"/> Copy/scan of identity document ¹¹ Type of document _____ Document no. _____ Issuing authority _____ |
| <input type="checkbox"/> via Videoident (video identification) procedure in accordance with BaFin Circular 3/2017 | <input type="checkbox"/> Copy/scan of identity document ¹¹ Type of document _____ Document no. _____ Issuing authority _____ Storage of identification process video (video and audio) ¹² _____ |
| <input type="checkbox"/> purely digital: | |
| <input type="checkbox"/> Remote identification by QES as per eIDAS Regulation | <input type="checkbox"/> QES validation data, plus reference credit transfer received from account within EEA or from third country with comparable AML/CFT standard ¹³ No.: _____ on _____ |
| <input type="checkbox"/> Remote identification by eID ¹⁴ | <input type="checkbox"/> Service and card-specific identifiers |
| <input type="checkbox"/> Remote identification by <u>non</u> -document-based means of identification from notified identification scheme under eIDAS Regulation | <input type="checkbox"/> Recording in accordance with notified identification scheme under eIDAS Regulation whose means of identification was used, namely: _____ |
| <input type="checkbox"/> other: _____ | <input type="checkbox"/> other: _____ |

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|---|--|
| <p>PEP status¹⁵</p> <p>of contracting party: <input type="checkbox"/> has been clarified <input type="checkbox"/> will be clarified before initial account access</p> <p>of beneficial owner: <input type="checkbox"/> has been clarified <input type="checkbox"/> will be clarified before initial account access</p> | <p>Space for any update of details recorded</p> |
| <p>Place, date</p> <p>Signature of bank employee</p> | <p>Place, date</p> <p>Signature of bank employee</p> |

| | | |
|---|---|--|
| <input type="checkbox"/> Newly opened account <input type="checkbox"/> Alteration of account | Withdrawal notice for savings deposits: | Additional processing information Place, date Signature of bank employee |
|---|---|--|

| | |
|---|---|
| PEP status ¹⁵ of contracting party: <input type="checkbox"/> has been clarified <input type="checkbox"/> will be clarified before initial account access of beneficial owner: <input type="checkbox"/> has been clarified <input type="checkbox"/> will be clarified before initial account access | Space for any update of details recorded |
| Place, date Signature of bank employee | Place, date Signature of bank employee |

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| <p>Place, date</p> <p>Signature of bank employee</p> | <p>Place, date</p> <p>Signature of bank employee</p> |

41.520 (12/17)

| | |
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41.520 (12/17)

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Place, date, signature of account/custody account holder

¹Geldwäschegesetz (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 (“Legal persons”), 41.523 (Trust/foundation or comparable legal form) or separately. ⁵US nationality must always be indicated (additionally, where necessary) (German FATCA Implementing Regulation = FATCA-USA-Umsetzungsverordnung). ⁶Tax Identification Number (must be indicated as of 1.1.2018 where allocated by the German Federal Central Tax Office (Bundeszentralamt für Steuern [BZSt])). ⁷Residential 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. ¹⁶“Acting person” is the person who personally opens the account but is not the contracting party.