

# Account Application Form

We, the undersigned, representing,  
hereby request  
Clearstream Banking S.A. ["CBL"] to  
open an account in our name with the  
following specifications:

Registered Company name (in full)

Account name<sup>1</sup>

Reason for opening an account (for additional account)

## Account type

(Please select one account type only)

	Published	Unpublished
<input type="checkbox"/> Main account	<input type="checkbox"/> default option	<input type="checkbox"/>
<input type="checkbox"/> Additional account	<input type="checkbox"/>	<input type="checkbox"/> default option
<input type="checkbox"/> Syndication account	<input type="checkbox"/>	<input type="checkbox"/> default option
<input type="checkbox"/> Fund issuance account (FIA)	<input type="checkbox"/>	<input type="checkbox"/> default option

## VestimaPRIME

The account will be used in VestimaPrime.

- ☐ Yes (please complete the VestimaPrime Service Application Form)
- ☐ No

## Accounts in favour of Eurex Clearing AG<sup>2</sup>

(Please select one model only)

Accounts pledged in favour of Eurex Clearing AG

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

Accounts with title transfer in favour of Eurex Clearing AG

- ☐ Default fund contribution
- ☐ Default fund contribution regarding ISA Direct Clearing Member<sup>5</sup>
- ☐ Default fund contribution regarding multiple ISA Direct Clearing Members<sup>5</sup>
- ☐ Company capital
- ☐ Individually segregated clients<sup>3</sup> (ISA)

1. CBL will adapt the account name for specific account types.

2. 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.

3. Asset tagging can be used.

4. Please specify the 5-digit Eurex Clearing AG member code.

5. Reference to the ISA Direct Clearing Member should be applicable equally to the Indemnified Clearing Model.

## Usage for assets

(Please select the appropriate category)

☐ For proprietary assets

☐ For third party assets – Segregated<sup>6</sup>:

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

Underlying client name

Country

☐ For third party assets – Omnibus<sup>7</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.

## Reports setup

CBL reports should show

☐ Common Codes (default option)

☐ ISIN

## VAT

(Please tick one box only)

☐

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

☐ We are exempt from VAT

## Settlement<sup>8</sup>

(Please tick one box only per option)

In accordance with the terms given in CBL's Governing Documents, the transactions for all accounts are to be settled according to the following criteria:

### Settlement sequence option

☐ **Option 1** by transaction reference number in increasing order (default option)

☐ **Option 2** by settlement date (flexible - D)

☐ **Option 3** by settlement date (strict - L)

☐ **Option 4** by nominal amount (flexible - S)

### Settlement option

☐ **Option 1**  
Include transactions in the mandatory settlement period only. (default option)

☐ **Option 2**  
Include against payment transactions in both mandatory and optional settlement periods. (recommended for CFF/FIA accounts)

BICs linked to the account:

Main BIC for the account

Matching BIC for the account

6. Subject to prior approval by CBL.

7. Omnibus accounts for third party assets are intended to facilitate the operations of professional securities intermediaries. CBL 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.

8. Please refer to the Settlement services and Securities instruction chapters of the CBL Client Handbook available from [www.clearstream.com](http://www.clearstream.com) under Key Documents / ICSD / Client Handbook.

## Settlement

(Please tick one box only per option)

**Matching BIC:** CBL will include the BIC flagged as "matching BIC" in the settlement party details of external settlement instructions as follows:

- Receipt instructions :95P::BUYR//matching BIC
- Delivery instructions :95P::SELL//matching BIC

If the client does not provide a "matching BIC" for the account, CBL will use the main BIC as the default "matching BIC". Clients who either do not wish the main BIC to be defaulted as "matching BIC", or would like to define a different BIC as "matching BIC" at a later stage are requested to send a Swift MT599 or free-format message via Xact Web Portal for the attention of PRGconnect. If the client does not provide a "matching BIC", CBL will not be held responsible for any cross matching of settlement instructions that might occur during the external settlement process.

For TARGET2-Securities (T2S) markets, if the client has populated these fields (BUYR/SELL) in their instruction to CBL, CBL will not overwrite this information with the "matching BIC".

For accounts linked to Vestima activity, that is, the client is a Vestima Order Issuer (OI) placing orders in investment funds that settle in a T2S market through this account, the "matching BIC" is mandatory.

Unless otherwise explicitly communicated by the client, for any additional account created, that is not a new "main account" type, CBL will default the same main BIC and "matching BIC" as the ones applied to the main account.

Note: The client has to provide a "matching BIC" that is published in the Swift directory and which belongs to the client, otherwise a Power of Attorney over the relevant BIC is requested in order to have it set as "matching BIC".

## Partial settlement

- ☐ PART: Instructions eligible for partial settlement
- ☐ NPAR: Instructions not eligible for partial settlement (default option)

Note: Your preference will apply for all internal, Bridge and external settlement instructions.

## Settlement fails penalties

### Central Counterparty

According to the European Regulation on Central Securities Depositories ("CSDR"), CBL will process fails penalties payments on a monthly basis.

Only for clients that are CCPs: We confirm that the CBL account will be used exclusively for the settlement of transactions of CCP clearing members:

- ☐ Yes
- ☐ No

### Penalty dedicated account

Only for clients that are CSDs:

- ☐ Yes, the account shall be used for penalties payments.
- ☐ No, another account shall be used for penalties payments (add account number to be used):
- \_\_\_\_\_

## French Registered Securities

(Only for holdings in VON<sup>9</sup>, LBS (PF)<sup>10</sup> or temporary LBS)

☐ Registered account<sup>11</sup> for our existing account number: \_\_\_\_\_

This overall linked account<sup>12</sup> is a standard account that can be linked to only one registered account and the other way round.

## Communications

☐ **Existing** Communication links that are currently in place for our account (if applicable).

☐ **Xact File Transfer** Xact File Transfer address \_\_\_\_\_ can now be requested directly through Xact Web Portal by the administrators. The users and the credentials can be created by the Xact administrators.<sup>13</sup>

☐ **Xact via Swift** Swift address / DN \_\_\_\_\_ Please complete the below section with the delivery details for general custody Swift reporting. In addition, please complete a separate application form for ClearstreamXact products and services, available from [www.clearstream.com](http://www.clearstream.com) under Clearstream Securities Services / Connectivity and Data solutions / ClearstreamXact / Xact via Swift Forms

☐ **Xact Web Portal** Please complete a separate application form for ClearstreamXact products and services, available from [www.clearstream.com](http://www.clearstream.com) under Clearstream Securities Services / Connectivity and Data solutions / ClearstreamXact / ClearstreamXact application forms

9. Occasionally Registered Shares - "Valeurs Occasionnellement Nominatives" (VON) in registered form only.

10. Loyalty Bonus shares (LBS) - "Prime de fidélité" (PF).

11. If Registered account is selected, "Additional account" must be selected in the "Account type" section above.

12. The procedure is described in the Xact Web Portal user manual.

13. The combination of a registered account held with CBL and an overall linked account held with Clearstream Banking AG ("CBF" - in the form of a Creation 6-series account) is possible, in which case the account relationships will be governed by Luxembourg law (as far as CBL and the registered account are concerned) and German law (as far as CBF and the overall linked account are concerned), respectively.

## General custody reporting

(Please tick at least one box only per option)

We will use one or more of the following communications facilities.

☐ **Existing**

Same custody profile as account \_\_\_\_\_  
(custody profile of the account, at the time request is processed by CBL, will be replicated in the new account)

☐ **Xact File Transfer** Xact File Transfer address \_\_\_\_\_

Following reports will be scheduled:

– MT564/568 Corporate Action Notifications

Please specify frequency. (tick boxes as appropriate) ☐ **Continuous**

or ☐ **Intraday** ☐ 03:00

☐ 08:00

☐ 21:30

☐ 22:30

– MT566 Corporate Action Confirmations Frequency: Continuous

☐ **Xact via Swift** Swift address / DN \_\_\_\_\_

– Corporate Action Notifications Frequency: Real Time

– Corporate Action Confirmations Frequency: Real Time

– Corporate Action Status and Processing Frequency: Real Time

☐ **Xact Web Portal**

Custody information will be retrieved directly on Xact Web Portal.

CBL provides an elective Proxy Voting Service with different service levels. For details on this offering please refer to our website under Securities Services / Asset Services / Proxy Voting and the current fee schedule.

By default your account will be set up for the Basic Direct Clearstream service.

## Standard rate of duty

The SDRT rate of 1.5% automatically applies to a client account if not yet certified giving only limited access to settlement services till completion of certification. In order to take advantage of the full settlement service under a 1.5% regime, clients must complete the [Request for Application of the 1.5% SDRT Regime](#).

However, if the 0.5% SDRT rate is to apply to the main account to be opened/the main account already existing/a further (main) account to be opened, the [Request for Application of the 0.5% SDRT Regime](#) must be completed and sent to Client Onboarding & Due Diligence.

Please contact your Relationship Officer if you wish to fill in this form.

For the impacts of the SDRT regimes, please refer to the relevant CBL publications.

Governing documents

We acknowledge receipt of CBL’s Governing Documents as amended from time to time and hereby confirm our acceptance to be bound by their terms and conditions. These Governing Documents shall also apply to all subsequent accounts to be opened upon our request by duly authenticated means of communication.

- If this “Account Application Form” is approved, we request CBL to open on our behalf the necessary security account.
- We agree that CBL may request additional information in relation to our institution as may be required from time to time under the applicable money laundering rules.

Authorised signature(s)

Signature	Signature
Name	Name
Title	Title
Place	Place
Date	Date