

Customer Identification Template (CIT) Guidance

CIT Version 2.2 (August 2023)

Part 1. Entity information		
Q.1	Full legal name	The Full Legal Name refers to the company name. The full legal entity name must be identical with your entity's full name in accordance with the respective legal documents.
Q.2	Legal Form	The legal form must match the legal form in current entity's legal records.
Q.3	Regulatory Status	If there is a regulator/supervisory authority with primary responsibility for oversight of the entity. In case, there is more than one primary regulator, then provide all regulators/supervisory authorities and the subject of regulation.
Q.4	Regulated market in the EU or third country subject to equivalent disclosure/transparency obligations.	Regulated markets in the EU are the markets in financial instruments, which are recognized by national competent authorities and function in accordance with the provision of MiFID (Market in Financial Instruments Directive) and regulated markets in third countries with the equivalent disclosure obligations. See also Directive 2004/109/EC - Transparency Directive and- Directive 2014/65 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (MiFID 2 -recast).
Q.5	Name of primary financial regulator/supervisor authorities	Indicate the regulator/supervisory authority with primary responsibility for oversight of the entity. In case, there is more than one primary regulator, then provide all regulators/supervisory authorities and the subject of regulation.
Q.6	Full legal name of ultimate parent	Indicate the name of the legal entity that holds majority of equity/ majority voting rights/power and controls (e.g., 50% + 1 share) the parent and affiliates of your entity directly or indirectly (if different from the entity completing the form)
Q.7	Jurisdiction of licensing authority and regulator of ultimate parent	Indicate the country where the primary financial regulator/supervisory authority of the ultimate parent is established.
Q.8	Main business lines/activities	Indicate your main current business activities as per annual report, articles of association, etc.
Q.9	Main geographic markets and name countries, where	Provide concrete countries, please avoid indicating only EU, EMEA, etc. The concrete countries associated with the geographic markets, where you are active in (10% or more of the customers' portfolio) must be indicated.

	you are active in (10% or more of the customer's portfolio or revenues)	
Q.10	Shell bank	According to FATF, a shell bank is "a bank that has no physical presence in the country in which it is incorporated and licensed, and which is unaffiliated with a regulated financial group that is subject to effective consolidated supervision. Physical presence means meaningful mind and management located within a country. The existence simply of a local agent or low-level staff does not constitute physical presence." A lot of jurisdictions prohibit any business with these types of entities.
Q.11	Correspondent banking services/correspondent relationship	For the purposes of this form, the correspondent relationships include business relationships, where the entities provide services to their customers (so-called agency business) through other institution (business partner) with whom they have a direct contractual relationship. This also includes business relationships whose purpose is the provision of securities transactions or funds transfers.
Q. 12	Payable through accounts	For the purposes of this form, a payable through account involves a customer/entity/ respondent, who opens an account with a correspondent/DBG and then provides its customers with cheque books or other means of drawing/accessing directly on the respondent's account with the Correspondent. The risk is that the Respondent is allowing its customer direct access to their account with the Correspondent, an arrangement which is less transparent and imposes heightened risk. This heightened risk is a result of the Respondent not having direct oversight of the transactions and poses risk to the Correspondent who does full transparency into the true originator. This direct access differs from downstream activity, where the Respondent are routing the transaction to the Correspondent.
Q. 13	Non-US bank maintaining a correspondent account with any US broker dealer in securities	The US Patriot Act Certification should be completed by any foreign bank (non-US bank) that maintains a correspondent account with any U.S. bank or broker-dealer in securities (a covered financial institution as defined in 31 CFR 1010.605(e)).
Q. 14	National Tax Identifier	Indicate your entity's Tax Identification Numbers (TIN) or Tax Number/Income Tax Number of your entity. For example, in Germany, Income Tax Number is the number under which the legal entity is registered with the German tax authorities for income tax or corporate tax purposes (such tax number. consists of a 10-to13 digits). This tax number can be found on the entity income or corporate tax return of the entity. Depending on the jurisdiction, the tax number may have different format and requirements.
Q. 15	Economic ID (if available) or Income tax number	Please provide the economic identification number (in Germany - "Wirtschaftsidentifikationsnummer-IdNr") as soon as available. If it is not available yet, please provide the Income Tax Number as per Q. 14.

Q. 16 & Q. 17	Proxy holder	Please select yes, if you are acting as a proxy holder on behalf of the legal entity, with whom DBG has a contacting relationship and provide the full legal name, LEI, legal/registered address of this entity.
Part 2. Ownership and Shareholder Structure		
Q.18	Ownership and Shareholders Structure	Please provide a comprehensive/complete ownership & shareholders structure, preferably, in chart/diagram form, but not a simplified version. This means a complete view of the entire corporate or similar owners, individuals, and assigning ownership interests, and all types of the ownership, and other means of control must be provided.
Part 2.1 Declaration of significant shareholders		
Q. 19	Declaration of significant shareholders	Please indicate all individuals/natural persons, legal persons/entities, who own, control directly or indirectly 10 % or more of your entity's shares, voting rights, or may control your entity by other means of control. These include, i.e., corporates, cooperatives, partnerships, sole traders, limited liability companies, limited liability partnerships, trusts, funds and nominees or partners. Please provide complete names of individuals (incl. middle, etc. names as per official document, i.e., Passport/ID card), their registered address, all nationalities/citizenships, date of birth, city/country of birth, their ownership percentage, ownership type, or means of control. Note: In case, your entity does not fall under all above or similar categories, then please tick the checkbox in the CIT, in order to confirm this.
Q. 20	Significant changes ownership over the last 3 years	Please include all significant changes, e.g., see Q.19 . That means any changes, which may cause changes in the ownership, shareholdings, means of controls shall be indicated.
Q. 21	Fund in the ownership structure with 10% or more (directly or indirectly)	Please provide fund prospectus, investment management agreement, etc. details on the fund structure, type of funds (hedge fund, mutual fund, etc), types of investors, etc. Further details might be required. Please provide information completely and accurately.
Q. 22 & 23	Trust or foundation in the ownership structure with 10% or more (directly or indirectly)	Please provide details on settlors, trustees, protectors, beneficiaries, Board of Trustees, Board of Directors. Complete name, country of residence, nationalities/citizenships, date of birth, purpose of the trust/foundation, ownership percentage, if necessary, on a separate page. Legal documentation to verify ownership information and beneficiaries of trusts and similar legal arrangements shall be provided. Please provide information completely and accurately.

2.2. Declaration of ultimate beneficial ownership

Q. 24

Ultimate Beneficial Ownership/Ultimate Beneficial Owners (UBOs)

Ultimate Beneficial Owner (UBO) is the individual(s), who ultimately owns or controls directly or indirectly **25%** or more of the shares, capital stock or voting rights or may exercise ultimate control over the management of the entity in comparable manner independent from the participation level. In order to identify the UBO(s), the levels of direct and underlying beneficial ownership should be defined. It is necessary to understand the whole ownership structure. In case, there are UBOs, then their complete names (incl. first name, middle name (if any), last name according to their Passport/ID card) must be provided. All their nationalities/citizenships (if there are multiple nationalities/citizenships), date of birth, city/country of birth, their **PEP status, Tax ID** or equivalent (e.g., in **Germany**- “steuerliche Identifikationsnummer(IdNr)” (this number has **11 digits- without any letters**), in **Luxembourg** – “National Identification Number”/RNPP (this number has **13 digits**). Depending on the jurisdiction, this number may have different formats. Please provide **Economic ID**, as far as the **Economic ID** (economic identification number) was issued. Please indicate all ownership percentages regarding the **UBOs**, their ownership types, or other means of controls, and the company/entity name, type of ownership, other means of control.

Note: In **Germany**, the **Economic ID** (“Wirtschaftsidentifikationsnummer-IdNr”- “W-IdNr”) will be issued to legal entities, associations of persons, **natural persons who are economically active**.

Therefore, sole traders and freelancers receive a W-IdNr. in addition to their TaxID (“steuerliche Identifikationsnummer”). So that the business sphere is clearly and unambiguously separated from the private sphere. **For example, in Germany**, the **Economic ID/W-IdNr.** will consist of the letters '**DE**' and **9 digits**. As soon as this number available **in Germany**, it may be applicable for the **UBO/NBO** (see also **Q. 25**).

Part 3. Executive management		
Q. 25	Executive Management & Notional Beneficial Owner (NBO)	<p>For the purposes of this form, Executive management is appointed in accordance with national law applicable to your entity, and which is understood by such law as having the management (executive) function. Usually, the Executive management/Board includes the Executive Board (Vorstand- in Germany) in relation to a public limited company incorporated under German law (AG), the Executive Board in relation to a public limited company incorporated under Luxembourg law having adopted a dualistic board structure (S.A.), the Board of Directors (acting in its management function) as well as the persons to whom the daily management has been delegated in relation to a public limited company incorporated under Luxembourg law having adopted a monistic board structure (S.A.), the Management Board (Geschäftsführung- in Germany) in relation to a private limited company incorporated under German law (GmbH). Depending on the legal form of your entity, this may include Chief Executive Officer (CEO), Chief Operating Officer (COO), Chief Information Officer (CIO), Chief Financial Officer (CFO). Please provide for these persons, their complete names (incl. first name, middle name (if any), last name according to their Passport/ID card). All their nationalities & citizenships (if there are multiple nationalities & citizenships), date of birth, city/country of birth, their PEP status must be provided. Please indicate the person, who can be indicated as NBO, if applicable.</p> <p>Notional Beneficial Owner (NBO) is a person determined from the Legal Representative (s), Executive Manager (s) or the Partner (s) of the entity, in case, there is no actual UBO (see Q. 24 above). This term may vary among different jurisdictions, e.g., Fictitious Beneficial Owner =Senior Managing Official = e.g., CEO. In Germany, this person will be usually CEO of the company. In case, there is NBO, then please indicate it in the checkbox and provide NBO's Tax ID or equivalent (e.g., in Germany- "steuerliche Identifikationsnummer (IdNr)" (this number has 11 digits- without any letters), in Luxembourg – "National Identification Number"/RNPP (this number has 13 digits). Depending on the jurisdiction, this number may have different formats. Please provide Economic ID, as far as the Economic ID was issued (for details, please refer to Q. 24).</p>
Part 4. Sanctions declaration		
Q. 26	Sanctions Declaration	<p>Please indicate all and elaborate on further details, if there are</p> <ul style="list-style-type: none"> - any offices, transactions, investments, activities or planned activities in sanctioned targets (due to different sanctions regimes, e.g., from US, EU, UK, Singapore, G7 members and/or your entity's jurisdiction) or - any transactions, investments, activities or planned activities with (or in) any person or entity located in sanctioned targets or with (or in) any entity owned or controlled by any entity located in sanctioned targets?" <p>Please provide details, including specific types of investments, transactions or activities and % of total revenues and/or assets that these instruments, transactions or activities represent for your institution in sanctioned targets.</p>

Part 5. MLRO and Sanctions contact details		
Q. 27	MLRO and Sanctions Contact Details	Please provide details (contact person name, job title, email address, phone number), on the MLRO (Money Laundering Reporting Officer) or on other persons with similar functions (e.g., Chief Compliance Officer, Sanctions Officer).
Part 6. Authorised signature		
	Authorized Signature	The persons, who are authorized by your entity sign such documents (e.g., CIT) in accordance with their signing power/authority of the signatories. Please provide also Authorized Signature List including specimen signatories and signing power/authority of the signatories for these persons.
Note: Deutsche Börse Group ('DBG') process Personal Data in accordance with the provisions of the General Data Protection Regulation EU 2016/679 (GDPR) .		