



Part 1. Entity information

1	Full legal name	
2	Legal Form	
3	Regulatory Status	
4	Are you listed on regulated markets in the EU or in third country subject to equivalent disclosure/transparency obligations? If yes, indicate the exchange traded on, the ticker symbol and attach a proof of listing.	<if Yes, insert text>
5	Name of primary financial regulator / supervisory authority	
6	Full legal name of ultimate parent (if different from the entity completing the form)	
7	Jurisdiction of licensing authority and regulator of ultimate parent	
8	Provide brief details of your main business lines / activities	
9	Please indicate the main geographic markets covered and name the countries where you are active in (10% or more of the customers' portfolio or revenues).	
10	Are you a Shell bank?	
11	Do you offer correspondent banking services?	
12	Do you allow payable through accounts?	
13	Are you a non-US bank maintaining a correspondent account with any US broker-dealer in securities? If yes, please provide us with a US Patriot Act	
14	Please provide a national tax identifier	
15	Please provide your Economic ID (as far as Economic ID was Issued) and if it is not available, the Income Tax Number	
16	Are you acting as a proxy holder on behalf of a legal entity contracting with a Deutsche Börse Group entity?	
17	If yes, please provide the name, LEI and legal/registered address of the legal entity customer on which behalf you act upon	

Part 2. Ownership and Shareholder Structure

18 **Details concerning the legal structure through which beneficial ownership is held or exercised**
Please declare all legal entities in the ownership structure. This means looking through corporate or similar owners of the company and assigning ownership interests to all share classes.

Please attach a diagram of the ownership and shareholder structure, duly signed/stamped, and dated.

2.1. Declaration of significant shareholder(s)

Please provide a list of natural persons or legal entities owning or controlling, directly and/or indirectly 10% or more of the entity's shares or voting rights. These include, i.e. corporations, cooperatives, partnerships, sole traders, limited liability companies, funds and nominees or partners.

We confirm that no shareholder (natural persons or legal entities) owns or controls directly and/or indirectly 10% or more of the entity's shares/voting rights.

[or:]

The following shareholders of the entity own or control directly and/or indirectly 10% or more of the entity's shares/voting rights.
(Additional shareholders can be provided on a separate sheet)

Full name	Registered Address	Place of Business	Regulated / Unregulated	Nationalities	Date of birth [dd/mm/yyyy]	City/ Country of birth	Ownership percentage	Ownership type	Means of control
[Last name, first name(s) OR legal name, legal form]	[Street, number, city, postcode, country]	[Only applicable for legal entity]	[Only applicable for natural persons]						

20 Have there been any significant changes in ownership over the last 3 years?

If yes, please provide details

21	Is a Fund identified in the ownership structure as owning 10% or more of the entity? If yes, please provide a Fund Prospectus or a similar official document which includes, e.g., a detailed information on the fund, its management and type (special or mutual fund)	<if Yes, insert text>
22	Is a trust identified in the ownership structure as owning 10% or more of the entity? If yes, please provide details on settlor, trustees, protector, beneficiaries and board of directors: Name, country of residence, nationality, date of birth, purpose of the trust, ownership percentage, if necessary on a separate page.	<if Yes, insert text>
23	Is a foundation identified in the ownership structure as owning 10% or more of the entity? If yes, please provide details on settlor, trustees, protector, beneficiaries and board of directors: Name, country of residence, nationality, date of birth, purpose of the trust, ownership percentage, if necessary on a separate page.	<if Yes, insert text>

2.2. Declaration of ultimate beneficial ownership

"Ultimate Beneficial Owners (UBO): natural person who ultimately owns¹ or controls² directly and/or indirectly 25% or more of the shares or voting rights or exercises ultimate control over the management of the entity."

¹Ownership Interest: any natural person(s) having ownership or entitlement of 25% or more of capital/profits/property.
²Controlling ownership interest: any natural person(s) exercising controlling through voting rights, agreement, arrangement etc.

We confirm that no Ultimate Beneficial Owner owns or controls directly and/or indirectly 25% or more of the entity's shares/voting rights or exercises control via other means.

Please provide details of all ultimate beneficial owners

Full name incl. aliases*	Residential Address*	Nationalities*	Date of birth*	City/Country of birth*	PEP	Tax ID or Equivalent*	Economic ID	Ownership Percentage*	Ownership Type*	Means of control*	Company name*
[Last name, first name(s)]	[Street, number, city, postcode, country]		[dd/mm/yyyy]				(As far as the economic ID was issued)				
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						
					<input type="checkbox"/>						

***Mandatory information which needs to be provided.**

Part 4. Sanctions declaration	
26	Does your institution have: - any offices, transactions, investments, activities or planned activities in sanctioned targets 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?
	If yes, 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.
<if Yes, insert text>	
Part 5. MLRO and Sanctions contact details	
27	Contact person name
	Job title
	E-mail address
	Phone
Deutsche Börse Group ("DBG") process Personal Data in accordance with the provisions of the General Data Protection Regulation EU 2016/679 (GDPR).	
Part 6. Authorised signature	
Name and Signature	Name and Signature
Title	Title
Date and place	Date and place
Company stamp	Company stamp