

# Request for admission to collective safe custody Shares (equities)

Clearstream Banking AG  
 New Issues Frankfurt – Shares  
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## Contact details of the issuing agent

Name of the issuing agent

CBF account number of the issuing agent

Name of the contact person

Telephone number

Email

Request for admission to collective safe custody (CSC) with Clearstream Banking AG, Frankfurt am Main ("CBF") for the shares of the following issuer:

## Key securities data

(Please complete all fields)

If additional shares of a securities class already held in CSC are to be issued and the new shares (for example, scrips) will first be allotted an ISIN/German securities code (WKN) that is different from the ISIN/WKN of the original share class, the ISIN/WKN of the original share class has to be indicated here:

Name of the issuer

Legal Entity Identifier (LEI) LEI valid until LEI status

Original ISIN Original German securities code (WKN)

ISIN German securities code (WKN)

Type of shares part 1:  Ordinary shares  Preference shares

Type of shares part 2:  Bearer shares  Registered shares

Type of securitisation:  No-par value shares / accounting value per share \_\_\_\_\_

Par value shares / nominal value per share \_\_\_\_\_

Shares without nominal value

Number of shares Organisation number

from number to number

Securities certificate numbers

from to

Financial year Currency of the income<sup>1</sup>

from

Profit participation

1. For the available currencies please refer to [Foreign currency matching tolerance amounts](#).

**Key securities data**

(Please complete all fields)

**Stock exchange listing**Entry in the commercial register:  Completed  Scheduled for \_\_\_\_\_ Regulated Market

Stock exchange(s) \_\_\_\_\_

Admission to listing

First day of quotation

 Open Market (Regulated Unofficial Market) Listing not planned Standard procedure  Special procedure**Country of taxation****U.S. Revenue**

Does the security distribute income that is U.S. taxable and reportable on IRS form 1042-s?

 Yes

The issuer (or its paying agent as applicable) hereby undertakes to provide CBF with each of the following documents:

- A monthly [1042-s reconciliation file](#) (Excel file detailing all income payment details, including the income code, the gross amount in the original currency and the Forex rate, if applicable);
- A yearly IRS form 1042-s reporting such income (in accordance with the IRS deadlines).

 No

Is the security subject to Section 871(m) of the U.S. Internal Revenue Code?

 Yes

The issuer (or its paying agent as applicable) hereby undertakes to provide CBF with each of the following documents:

- At acceptance, documentation (prospectus, offering memorandum, final terms or pricing supplement as applicable) clearly indicating that the security is subject to Section 871(m), the method of payment and tax withholding (that is, either a dividend equivalent payment taxed at source at the maximum tax rate as per the "issuer solution" or an ordinary cash dividend payment);
- A monthly [1042-s reconciliation file](#) or [Dividend equivalent payment \(DEP\) reporting template for 871\(m\) securities](#);
- A yearly IRS form 1042-s (in accordance with the IRS deadlines) reporting any cash dividend or dividend equivalent payment under Section 871(m).

 No

The issuer (or its paying agent as applicable) hereby undertakes to notify CBF of any material change that would render the security subject to Section 871(m) and to provide relevant documentation described under "yes".

**Admission request type** Admission of new securities class to CSC Admission of additional shares from capital increase (as specified in the articles of association) Authorised capital \_\_\_\_\_ Contingent capital \_\_\_\_\_ Other types of corporate actions (please specify in the field "Additional remarks")

Additional remarks

Declaration for the signature on the global certificate

In our capacity as the issuing agent of the securities in question, we confirm that the above company's global certificate (to be) deposited has been duly signed by the persons listed below. In addition, we are not aware of any indications or circumstances regarding the lack of legal capacity of the signatory persons or any error relevant for the effective establishment of the global certificate, having exercised the diligence of a prudent businessman at the time of requesting the admission to collective safe custody.

If the global certificate bears only one signature of a member of the management or executive board or a managing director of the company, it must be clearly stated that this authorised signatory has sole power of representation.

	Position
Sole power of representation: <input type="checkbox"/> Yes <input type="checkbox"/> No (Please indicate the other signatories)	
	Position
	Position
	Position
	Position

We confirm that

- any blank endorsement on the back of the global certificate carries a legally binding signature;
- all formal requirements connected with the global certificate (to be) deposited have been fulfilled;
- we will act as the principal paying agent for all issue-related transactions carried out via CBF through our CBF account number \_\_\_\_\_; all payments due in connection with the above investment fund will be settled through this account; or alternatively:
- the bank \_\_\_\_\_ will act as the principal paying agent for all issue-related transactions carried out via CBF through this bank's CBF account number \_\_\_\_\_; all payments due in connection with the above investment fund will be settled through this account; separate written confirmation of assumption of the paying agent function will be provided

**Issue for account of another**

- a standard banking compliance check on the issuer (including a "know your customer" (KYC) audit regarding anti-money laundering (AML), terrorism financing and/or (capital market) fraud has been carried out.
- we have assumed the function of issuing agent and will settle the securities issue in question via our CBF account number \_\_\_\_\_; in the case of securitisation of conditional capital evidenced by (an) 'up to' global certificate(s), marking up and marking down of the nominal value in accordance with the currently issued volume will be instructed and settled via this CBF account.

**Own issues**

- the provisions applicable in relation to own issues regarding anti-money laundering (AML), terrorism financing and/or (capital market) fraud have been observed;
- marking up and marking down of the nominal value in accordance with the currently issued volume will be instructed and settled via our CBF account number \_\_\_\_\_

We are aware of the fact that the admission of securities is subject to checking and validation procedures and that all required documents have to be received by CBF, in a valid, definite and complete form,

- at least two business days ahead of the scheduled value date (cut-off time: 13:00) if bearer shares are to be admitted;
- at least three business days ahead of the scheduled value date (cut-off time: 13:00) if registered shares are to be admitted.

Authorised signatures of the issuing agent<sup>2</sup>

_____ Signature	_____ Signature
_____ First name and surname	_____ First name and surname
_____ Place	_____ Place
_____ Date	_____ Date

2. The signatures must be on file with the CBF register of authorised signatories.