

In original by mail to

OeKB CSD GmbH
 attn. Relationship Management
 Strauchgasse 3
 1011 Vienna
 Austria

Version 3.0

Annex 5.1 to the GTC of OeKB CSD Provision/Modification Customer Master Data

- We **provide** the **Customer Master Data** as follows:
- We request the **modification** of the **Customer Master Data** as indicated below:

1. General Information

1.1. Name of institute:	
1.2. Legal form:	
1.3. Registered office (address):	
1.4. The registered office is the location of the central administration: <input type="radio"/> yes <input type="radio"/> no If no, address of the central administration:	
1.5. VAT-ID No.:	
1.6. Company Register No. or equivalent:	
1.7. Legal Entity Identifier (LEI):	
1.8. Beneficial owner¹:	

¹ The **beneficial owner** is the natural person(s) who directly or indirectly holds 25% or more of the shares in the company. If other legal entities hold shares in the company, the entire chain of ownership must be disclosed down to the last natural person, stating the amount of the shareholding. If necessary, a graphic representation must be submitted, showing the shareholdings and their size. If the beneficial owner is a country, a state or another organization (e.g. a stock exchange or a cooperative etc.) where no natural person can be identified, the management of the company owned by the country/state etc. (usually the board of directors of an AG or management of a GmbH) must be reported.

1.9. Purpose of business activity:

2. Information on Bank Identifier Code (BIC)

2.1. BIC-code:

2.2. Test-BIC-code:

3. Information regarding the US withholding tax

3.1. FATCA status

GIIN:

- PFFI
- active NFFE
- passive NFFE (under dominating US influence)
- exempt FFI
- exempt NFFE

3.2. QI status

- QI QI-EIN:
- NQI

By signing this form, we confirm,

- the accuracy of the data provided and the attachments submitted,
- to have read and taken note of the General Terms and Conditions of OeKB CSD GmbH in their current version (available at www.oekb-csd.at → [General Terms and Conditions](#)) and to agree to their validity for the provision of services agreed with us within the scope of the business relationship and
- to have read and taken note of the information on data processing in accordance with Articles 13 and 14 of Regulation (EU) 2016/679 (Data Protection Regulation – DSGVO; available at www.oekb-csd.at → [Privacy Policy](#)).

Place, Date

Place, Date

Authorized Signature

Authorized Signature

Name in Capital Letters

Name in Capital Letters

Attachments

- **Current excerpt from the company register** (not older than 6 weeks), in the case of company headquarters outside Austria in non-German-speaking countries, if necessary equivalent, certified translation in German or English
- **Extended excerpt from the WiEReG** (only for Austrian applicants); excerpt from the respective foreign register of beneficial owners, if existing (for non-Austrian applicants from the EU area) or equivalent (applicants from third countries) in the case of company headquarters outside Austria in non-German speaking countries, certified translation in German or English
- **Copy of an official photo ID** and **proof of the power of representation** of the persons signing Annex 5 (Provision/Modification Customer Master Data)
- **Copy of the official photo identification/s² of the beneficial owner(s)**

Additional Attachments

- **Current articles of association of the company** (if necessary confirmed by a notary public or equivalent for non-Austrian applicants)
- **Latest annual report**
- [→ Wolfsberg-FCC Questionnaire](#) (to be provided by banks and brokers)
- **US-Tax/FATCA** (W-8IMY for banks, W-8BEN-E for non-banks or banks in case of own stock)

OeKB CSD GmbH reserves the right to request further documents.

² Passport or identity card with the following criteria: non-exchangeable header picture, date of birth, citizenship, issuing authority, signature

Contact person for OeKB CSD

1. General

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
First and last name or name of group address:			
Phone:			
E-mail:			
Receive mailings:	<input type="radio"/> yes	<input type="radio"/> no	

2. Notary Services & Safekeeping

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
First and last name or name of group address:			
Phone:			
E-mail:			
Receive mailings:	<input type="radio"/> yes	<input type="radio"/> no	

3. Securities Account Administration

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
First and last name or name of group address:			
Phone:			
E-mail:			
Receive mailings:	<input type="radio"/> yes	<input type="radio"/> no	

4. Cash Account Administration

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
First and last name or name of group address:			
Phone:			
E-mail:			
Receive mailings:	<input type="radio"/> yes	<input type="radio"/> no	

5. Settlement

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
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First and last name or name of group address:

Phone:

E-mail:

Receive mailings: yes no

6. Asset Servicing

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
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First and last name or name of group address:

Phone:

E-mail:

Receive mailings: yes no

7. Tax

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
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First and last name or name of group address:

Phone:

E-mail:

Receive mailings: yes no

8. Technical issues (IT)

Address:	<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> general
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First and last name or name of group address:

Phone:

E-mail:

Receive mailings: yes no
