

Annex 13 to the GTC of OeKB CSD

Application for Opening a Securities Account, Application for Opening a Cash Account

Version 13.3

We apply to **open** a ☐ **Securities Account** [\(go on to 1. Securities Account Settings\)](#) / ☐ **Cash Account** [\(go on to 2. Cash Account Settings\)](#) with OeKB CSD GmbH.

This business relationship is subject to the latest version of the General Terms and Conditions of OeKB CSD GmbH.

We hereby confirm that the ☐ **Securities Account** / ☐ **Cash Account** is held for own account:

☐ Yes ☐ No

If "No", please indicate the identity of the trustor:

Name:

Legal Form:

Registered Office
(Address):

The undersigned of this application confirms hereby that he has checked himself or by warrantor the identity of the trustor according to section 6 para 3 no. 2 Financial Market law to prevent Money Laundering and Terrorism Financing (FM-GwG).

Information: Please attach a copy of a valid photo ID of trustor (if natural person) or excerpt from the company register (not older than 6 weeks) of the trustor.

Modification Securities Account Master Data, Modification Cash Account Master Data

We request the **modification** of the ☐ **Securities Account Master Data** [\(go on to 1. Securities Account Settings\)](#) as indicated in **section 1**.

Information: Please fill in at least section 1.1.

We request the **modification** of the ☐ **Cash Account Master Data** [\(go on to 1. Cash Account Settings\)](#) as indicated in **section 2**.

Information: Please fill in at least section 2.1.

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1. Securities Account Settings

1.1. Securities Account No. ¹ (only for modifications): (10-digit)	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;">O</td> <td style="width: 20px; height: 20px;">C</td> <td style="width: 20px; height: 20px;">S</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>	O	C	S	D							
O	C	S	D									
1.2. T2S – Party BIC²: (11-digit)	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											
1.2.1.T2S Connectivity:	DCP (Directly Connected Participant – a participant with a direct technical connection to T2S) ☐ Yes ☐ No											
1.3. Instructing BIC²: (11-digit)	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											
1.4. Name of Legal Entity:												
1.5. Description:												
1.6. Opening Date:												
1.7. Securities Account: Authorized persons (authorized signatory and persons authorized to dispose), Trustor and Ultimate Beneficial Owner for the Account Register according to Account Register Act (Kontoregistergesetz)												
Name:												
Date of birth:												
Nationality:												
<i>Information: Please attach a copy of a valid photo ID.</i>												
1.8. Options to block the processing of instructions: ☐ Securities account without blocking (No constraints) ☐ Securities account with blocking the processing of instructions RFP, RVP, RWP (Receives blocked) (go on to 1.8.1. to 1.8.2.) ☐ Securities account with blocking the processing of instructions DFP, DVP, DWP (Deliveries blocked) (go on to 1.8.1. to 1.8.2.) ☐ Securities account with blocking the processing of instructions DFP, DVP, DWP, RFP, RVP, RWP (Deliveries and Receives blocked) (go on to 1.8.1. to 1.8.2.)												
1.8.1. Blocking Date from:	1.8.2. Blocking Date to:											
1.9. Type of securities account: ☐ participant's own account³ ☐ individual client account ☐ omnibus client account												
1.10. Authorized signature: ☐ same as Securities Account with No. (10-digit): <table border="1" style="margin-left: 10px;"> <tr> <td style="width: 20px; height: 20px;">O</td> <td style="width: 20px; height: 20px;">C</td> <td style="width: 20px; height: 20px;">S</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table> ☐ according to attached → Specimens of Signature		O	C	S	D							
O	C	S	D									
1.11. Default Sec. Account:	☐ Yes ☐ No											

¹ Securities Account No. starting with OCSD

² The designation of a securities account as a participant's own account shall be deemed to be a written notification pursuant to the Austrian Securities Deposit Act that the securities booked on this securities account are the property of the participant.

³ The designation of a securities account as a participant's own account shall be deemed to be a written notification pursuant to the Austrian Securities Deposit Act that the securities booked on this securities account are the property of the participant.

1.12. Partial Settlement Default:	☒ Yes	
1.13. Auto Receive:	☐ Yes	☐ No
1.14. Hold Claim Cash:	☐ Yes	☐ No
1.15. Hold Claim Securities:	☐ Yes	☐ No
1.16. Default Instr. Format:	☐ ISO 15022 (MT)	☐ ISO 20022 (MX)

Information: Message Subscription (except Statement of Holdings, Statement of Transactions)

The Message subscription is automatically assigned in the Securities Account Master Data when the account is created. The default setting automatically activates the receipt of all messages, including SWIFT MT537 Penalty reports. This settings can be changed once the Securities Account is opened. You will find more detailed information in the → [Settlement Client User Manual](#) under section 10 "Message Subscription".

1.17. Statement of Holdings (MT535): ☐ daily ☐ weekly ☐ monthly ☐ no
to BIC:

1.18. Statement of Transactions (MT536): ☐ daily ☐ ad hoc ☐ no
to BIC:

1.19. Income/Corporate Actions
1.19.1. Asset Servicing Notification, Preadvice/Reminder:

☐ SWIFT 15022 MT564	to BIC (11-digit):	
☐ SWIFT 15022 MT567	to BIC (11-digit):	
☐ SWIFT 20022 seev.031, seev.035, seev.039, seev.044	to BIC (11-digit):	
☐ SWIFT 20022 seev.032	to BIC (11-digit):	

1.19.2. Confirmation:

☐ SWIFT 15022 MT566	to BIC (11-digit):	
☐ SWIFT 20022 seev.036, seev.037	to BIC (11-digit):	
☐ e-mail (PDF)	e-mail to:	

1.19.3. Instruction Handling

☐ SWIFT 15022 MT567	to BIC (11-digit):	
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☐ SWIFT 20022
seev.034, seev.041

to BIC (11-digit):

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1.19.4. General Meetings (ISO 20022)⁴

☐ SWIFT 20022
seev.001, seev.002

to BIC (11-digit):

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☐ SWIFT 20022
seev.003

to BIC (11-digit):

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☐ SWIFT 20022
seev.006

to BIC (11-digit):

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☐ SWIFT 20022
seev.007

to BIC (11-digit):

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☐ SWIFT 20022
seev.008

to BIC (11-digit):

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1.19.5. Disclosure Requests (ISO20022)⁴

☐ SWIFT 20022
seev.045, seev.046

to BIC (11-digit):

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1.20. Invoice address:⁵

1.21. E-Mail address of recipient (group e-mail or single person):

E-mail address of recipient/s for copy of invoice (optional):

1.22. Dedicated Cash Account (DCA):

Mandatory (DCA 1):

Optional (DCA 2):

1.22.1. DCA-No.:

1.22.2. Valid as of [\(only for modifications\)](#):

1.22.3. Valid until [\(only for modifications\)](#):

1.22.4. Auto-Collateralisation:

☐
☐

1.22.5. Settlement Default:

☐
☐

1.22.6. Income Default:

☐
☐

1.23. OeKB CSD Cash Account:

☐ link to already existing Cash Account

⁴ Only BICs that have been registered for the SWIFT Service Subscription can be recorded.

⁵ The invoice address is only to be filled in for new clients. For further securities/cash accounts, the previous invoice address will be used

IBAN (20-digit):
☐ open a new Cash Account [\(go on to section 2. Cash Account Settings\)](#)

2. Cash Account Settings

2.1. Cash Account No. (only for modifications)

 (20-digit):

2.2. Currency: Select Currency

 For EUR-cash accounts you have to place a → [standing instruction](#)

2.3. Description:

2.4. Opening Date:

2.5. Link to Securities Account/s with No. (10-digit)

2.6. Cash Account: Authorized persons (authorized signatory and persons authorized to dispose), Trustor and Ultimate Beneficial Owner for the Account Register according to Account Register Act (Kontoregistergesetz)

Name:

Date of birth:

Nationality:

Information: Please attach a copy of a valid photo ID.

2.7. Authorized signature:

☐ same as Cash Account with IBAN (20-digit):
☐ according to attached → [Specimens of Signature](#)

2.8. Account statement (for OeKB CSD Cash Accounts):

☐ SWIFT MT940

☐ SWIFT MT950

☐ SWIFT camt.053

 to BIC (11-digit):
☐ e-mail (PDF)

to e-mail address:

☐ daily

☐ monthly

☐ only in case of movement

☐ even in case of no movement

☐ no account statement

2.9. Account statement (for DCA): → [Request DCA Account Statement](#)

2.10. Account Information:

☐ Access to the Client via Login Portal

Attachments Securities Account⁶:

- List of authorized signatures or → [Specimens of Signatures](#)
- Copy of photo ID of the authorized persons for the Account Register.
- If trusteeship is applicable: valid photo ID (if natural person) or excerpt from the company register (not older than 6 weeks) of the trustor.
- For the SWIFT connection with OeKB CSD, a RMA exchange is required and as well the participation to the Closed User Group (CUG) is essential. You will receive more details to the CUG participation in the guideline: → [Guideline to join the OeKB CSD CUG 15022](#)
- The prerequisite for opening a securities account for new clients is the performance of functional and authorisation tests. We ask you to contact us once the RMA exchange and the CUG participation has been fulfilled. → [Functional and Authorisation Tests](#)

Attachments Cash Account⁷:

- List of authorized signatures or → [Specimens of Signatures](#)
- Copy of photo ID of the authorized persons for the Account Register.
- If trusteeship is applicable: valid photo ID (natural person) or excerpt from the company register (not older than 6 weeks) of the trustor.
- → [Standing Instruction](#): A Standing Instruction for EUR-Cash Accounts has to be signed and resent to OeKB CSD, once the Cash Account has been opened.
- A SEPA Direct Debit Mandate form prefilled by OeKB CSD will be submitted once the Cash Account has been opened. It has to be signed and resent to OeKB CSD.

 Place, Date

 Place, Date

 Authorized Signature⁸

 Authorized Signature⁸

 Name in Capital Letters

 Name in Capital Letters

⁶ Applies to Opening of Securities Accounts (or to Modification of Securities Account Master Data only if documents listed change).

⁷ Applies to Opening of Cash Accounts (or to Modification of Cash Account Master Data only if documents listed change).

⁸ Handwritten signature or qualified electronic signature in accordance with Art 3 (12) eIDAS-VO.

Glossary

T2S – Party BIC	BIC of the securities account holder.
Name of Legal Entity	Official name of account holder.
Instructing BIC	You can provide us with another BIC that will be able to input the instructions for the securities account. Our participants use this function to assign another legal entity with a Power of Attorney to instruct on behalf of them.
Description	Free selectable text. This text is shown as securities account description to your securities account. The securities account description should not have more than 60 characters or consisting of umlauts (Ä, Ö, Ü). Special characters such as / . - % can be used. All other special characters can not be processed.
Opening Date	The day starting at which the securities account will be active.
Sec. Acc. Category	Possible securities account categories: No constraints: securities account without constraints Receives blocked: the securities account is blocked for receipt instructions Deliveries blocked: the securities account is blocked for delivery instructions Deliveries and Receives blocked: the securities account is blocked for delivery and receipt instructions Blocked Special Holding Type: the securities account is blocked, because it is used for holding positions in Individual Custody
Blocking Date from	The day starting at which a block will be active for the securities account.
Blocking Date to	The last day a block will be active for the securities account.
Blocking Reason	Reason of the block valid between the dates specified in the Blocking Date fields.
Default Sec. Account	If the check box is ticked, the securities account is used as the default securities account. As soon as e.g. an instruction is created in the Settlement Client, the system automatically displays this securities account number in the Securities Account field of the screen.
Partial Settlement Default	If the check box is ticked, partial settlement is allowed for all instructions on this securities account. The Partial Settlement Ind. field in the Settlement Client will automatically display the option Partial allowed if an instruction is created for this securities account.
Auto Receive	If the check box is ticked, a receive instruction will be automatically generated for received DPF allegements, unless the instruction involves an external depository.
Hold Claim Cash	If the check box is ticked, claim instructions related to the cash payment will automatically receive status Hold. They can be released directly on the Settlement Client or via SWIFT as soon as the dividend

	payment has been effected. For details see Annex 8 Guideline Settlement and Securities Account Administration.
Hold Claim Securities	If the check box is ticked, claim instructions related to certificates will automatically receive status Hold. They can be released directly on the Settlement Client or via SWIFT as soon as the dividend payment has been effected. For details see Annex 8 Guideline Settlement and Securities Account Administration.
Dedicated Cash Account	A central bank money account which is used as cash account for cash leg settlement in T2S and which is linked to a securities account.
Auto Collateralisation	Auto-collateralisation is an intra-day credit in central bank funds to facilitate the processing of RVP instructions in cases of temporarily insufficient liquidity on the DCA (Dedicated Cash Account). The OeNB determines the securities which are admitted as collateral. To use this function the cash-side settings are effected on the part of the OeNB (DCA settings).
DCA – Settlement Default	If you use 2 DCAs for your securities account, you have to define one as the default account for cash settlement.
DCA – Income Default	If you use 2 DCAs for your securities account, you have to define one as the default account for income payment/corporate actions.
T2S – Party BIC	BIC of the securities account holder.