

Deposit/Account number: \_\_\_\_\_

BAADER

**Baader Bank Aktiengesellschaft**  
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Germany  
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Please return duly signed to:

**Baader Bank Aktiengesellschaft**  
Client Service Group  
Weihenstephaner Strasse 4  
85716 Unterschleissheim  
Germany

\* Free telephone number from international and national landlines. Costs may be incurred for calls from other networks.

## Deposit-/Account closure

### 1. Personal information

Client reference number: \_\_\_\_\_

Deposit-/Accountnumber: \_\_\_\_\_

**First deposit-/account holder** (please state current home address)

Ms  Mr Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

**Second deposit-/account holder** (please state current home address)

Ms  Mr Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

### 2. Account details (required information for balance transfer)

**First account holder**

Ms  Mr Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

IBAN: \_\_\_\_\_

BIC: \_\_\_\_\_

Name of the credit institution: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

**Second account holder**

Ms  Mr Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

### 3. Foreign currency credit directive<sup>1</sup>

Please convert to euro.

Please make the transfer in the appropriate foreign currency to the above account.

### 4. Order for your securities portfolio

**Disposal of all securities positions**

With regard to execution venues and execution type, I issue the following directive (stock exchange venue, limit, validity):  
\_\_\_\_\_

Non-tradable securities  transferred to the custody account below

Please note that the transfer of units is often only possible as whole shares. If this is the case, any fractional shares held will be sold prior to account transfer and the cash proceeds transferred to your bank account.

are to be written off without value

I understand that the close-out at no value is a transfer of securities against payment with a change of creditor. This result in a sale of the economic asset. The loss resulting from the close-out of the valueless economic asset is not included in the general pot of losses. The loss can be offset by income from capital assets as part of the investment. The loss from the close-out at no value is automatically recorded in the annual tax certificate.

<sup>1</sup> Please note the fees according to the schedule of prices and service when transferring foreign currency balances

I understand that these financial instruments may still have value now or in the future. The Bank will not assess the recoverability of these financial instruments. Valuation of these security classes is not possible at this time. I irrevocably and expressly waive the below-mentioned financial instruments held in my aforementioned securities deposit account and thus also all current or future rights and claims arising from these financial instruments, in particular to future earnings and existing or future subscription rights.

I likewise transfer any existing/emerging claims and rights to the Bank. I have been informed that I must clarify in advance with my tax advisor or directly with the tax office itself whether and to what extent my tax office recognises the loss from these financial instruments for tax purposes.

**Transfer to your own securities deposit account**

Transfers to your own securities deposit accounts are not deemed to be a change of creditor according to tax law and are therefore of no significance for tax purposes. Acquisition data is only transferred within Germany.

**Transfer to the securities deposit account of a spouse/life partner**

Transfers between spouses/registered life partners from an individual securities deposit account to a joint securities deposit account or vice versa, or from an individual securities deposit account of one spouse/registered partner to the other's, are transfers which are free of charge and are reported to the tax office. This applies to securities acquired from 01/01/2009 onwards. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

**Transfer to the securities deposit account of a third party as a gift**

Transfers to third-party securities deposit accounts as a gift are deemed to be transfers with a change of creditor. If holdings acquired from 01/01/2009 onwards are transferred as a gift (i.e. free of charge), this is reported to the tax office. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

**Transfer due to inheritance**

Transfers to third-party securities deposit accounts are deemed to be transfers with a change of ownership. There is no reporting obligation for transfers due to inheritance. However, irrespective of the securities deposit account transfer, if the exemption limit of EUR 5000 is exceeded, this is reported in accordance with Section 33 of the German Inheritance Tax Act(Erbchaftsteuergesetz).

**Other transfer to the securities deposit account of a third party (subject to a fee)**

For holdings acquired from 01/01/2009 onwards, a sale is assumed under the German Income Tax Act (Einkommensteuergesetz). A fictitious sale is then calculated, whereby capital gains tax, solidarity surcharge and, if applicable, church tax, are due and paid to the tax office. For holdings acquired by the transferor prior to 01/01/2009, according to tax law the securities are deemed to have been newly acquired by the recipient on the date of derecognition.

**If the type of transfer is not specified the Bank will always assume a transfer against payment.**

## 5. Transfer of loss compensation accounts<sup>2</sup>

- Accrued losses on equities (Aktienverlusttopf)
- General account for offsetting losses against gains (allgemeiner Verlustverrechnungstopf)
- Withholding tax account (Quellensteuertopf)

### First deposit holder

Ms    Mr   Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

Date of birth: \_\_\_\_\_

Tax ID number<sup>3</sup>: \_\_\_\_\_

Account number: \_\_\_\_\_

Financial institution: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

### Relationship to the principal

- Spouse
- Inheritor
- Third party with kinship: \_\_\_\_\_
- Other third party: \_\_\_\_\_

### Second deposit holder

Ms    Mr   Title: \_\_\_\_\_

Forename: \_\_\_\_\_

Surname: \_\_\_\_\_

Date of birth: \_\_\_\_\_

Tax ID number<sup>3</sup>: \_\_\_\_\_

Street/no.: \_\_\_\_\_

Additional address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Place: \_\_\_\_\_

Country: \_\_\_\_\_

### Relationship to the principal

- Spouse
- Inheritor
- Third party with kinship: \_\_\_\_\_
- Other third party: \_\_\_\_\_

<sup>2</sup> Only possible for the total transfer to own securities/account without a change of ownership

<sup>3</sup> Must be provided for any transfer without offsetting payment to the account of a spouse or third party. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

**6. Signature**

Place, date: \_\_\_\_\_

**x**

\_\_\_\_\_  
Signature of first deposit/account holder

Place, date: \_\_\_\_\_

**x**

\_\_\_\_\_  
Signature of second deposit/account holder