

For internal use by the bank

Kundenstammnr.: _____

Konto-/Depotnr.: _____



Baader Bank Aktiengesellschaft

Weihenstephaner Strasse 4
85716 Unterschleissheim

Germany

T 00800 00 222 337*

F +49 89 5150 2442

service@baaderbank.de

www.baaderbank.de

* Toll-free from (inter)national landline networks.
Charges may apply from other networks.

Please return duly signed:

Baader Bank Aktiengesellschaft
Customer Service
Weihenstephaner Strasse 4
85716 Unterschleissheim
Germany

Additional information required for accounts held by U.S. persons

New account Change

First accountholder/beneficial owner

Ms Mr

Last name _____

First name(s) _____

Account number (if known) _____

Second accountholder/beneficial owner

Ms Mr

Last name _____

First name(s) _____

Account number (if known) _____

We must kindly ask you to answer the following questions:

	First accountholder/ beneficial owner	Second accountholder/ beneficial owner
1. Are you a citizen of the United States? (If you are a dual citizen of the U.S. and another country, answer "Yes".)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Do you hold a visa entitling you to permanent residency in the United States ("green card")?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. During the current calendar year, have you been, or do you plan to be, present within the United States for a prolonged period (31 days or more), and if so, do you also meet the second criteria of the "substantial presence" test as described below? 183 or more days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year plus 1/3 of the days you were present in the first year before the current year plus 1/6 of the days you were present in the second year before the current year. Note: Even if you fulfil both of the above criteria, you may claim an exception to the substantial presence test provided, firstly, that you have not been, or do not plan to be, present within the United States for 183 or more days during the current calendar year, and secondly, that you have a country of residence outside the U.S. to which you can demonstrate a "closer connection". In this case, you must file IRS Form 8840 (Closer Connection Exception Statement for Aliens) with the U.S. Internal Revenue Service (IRS) and, once it has been granted, present the exception to the bank.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Are you subject to taxation in the United States because you are married to a U.S. person?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Are you subject to taxation in the United States for any other reason? Please note that the ownership of real estate, in the United States, or rental income therefrom, is generally not relevant for this purpose. This includes real estate held in a real estate investment trust (REIT). If so, please provide all relevant details of your U.S. tax obligation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you are unsure how to answer the above questions, or if you are unsure whether you are subject to U.S. taxation for any other reason, please consult your personal tax advisor.

I/we certify that the above information is correct and that, in the event of any change in my/our answers to the above questions, I/we will promptly notify Baader Bank AG.

Place, date _____

Place, date _____

Signature of first accountholder/
beneficial owner/legal representative _____

Signature of second accountholder/
beneficial owner/legal representative _____