

Know Your Customer Questionnaire

1 Company information trading participant

Customer details	
Name of company	
Legal Entity Identifier	
Address (headquarters)	
Legal form	
License number	
Commercial register number	
Website	
Tax number / TIN	

2 Authorised representatives (executive directors, authorised signatories)

Authorised representatives	
Name (all first and last names)	Name (all first and last names)
Date of birth	Date of birth
Place of birth	Place of birth
Nationality	Nationality
Address:	Address:
Street	Street
Postal code, city	Postal code, city
Country	Country
Position within the company	Position within the company

Name (all first and last names)	Name (all first and last names)
Date of birth	Date of birth
Place of birth	Place of birth
Nationality	Nationality
Address:	Address:
Street	Street
Postal code, city	Postal code, city
Country	Country
Position within the company	Position within the company

- The authorised representatives can be found in the attached extract of the company register.
- The authorised representatives can be found in the attached proof of power of attorney.

3 Compliance / AML Officer

Please state the contact details of your Compliance / AML Officer	
Name	
Telephone	
Email	

4 Beneficial owner / Ownership and control structure

Beneficial owner	
1	Is your company listed on a regulated market ¹ ? <input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, please name it: _____
	Name of the regulated market
2	Is your company subject to transparency requirements (e.g. in Germany: Transparency Register) with regard to voting rights or equivalent international standards corresponding to EU legislation? If yes, please set out the legal basis here (jurisdiction) <input type="checkbox"/> Yes <input type="checkbox"/> No
3	Details relating to the beneficial owner:
	a) Does any natural person own directly or indirectly ² more than 25% of the capital shares? <input type="checkbox"/> Yes <input type="checkbox"/> No
	b) Does any natural person control 25% of the voting rights? <input type="checkbox"/> Yes <input type="checkbox"/> No
	c) Does any natural person control the company in a comparable way? ³ <input type="checkbox"/> Yes <input type="checkbox"/> No

In case you have answered one or more questions with “Yes”, please name this person / these people:

Name (all first and last names)	
Date of birth	
Place of birth	
Nationality	
Address: Street	
Postal code, city	
Country	
Position within the company	
Tax residency	
Tax number or TIN	
Equity participation rate (%)	

¹ A list of regulated markets is available at [http://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A52010XC1221\(02\)](http://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A52010XC1221(02)).

² Indirect control exists in particular when shares are held by one or more companies, which are controlled by one natural person.

³ In particular, control exists where the natural person is in a position to exercise, directly or indirectly, a dominant influence over the company. For the existence of a dominant influence, Section 290 (2) to (4) of the German Commercial Code applies accordingly.

Ownership and control structure	
1	Is your company the subsidiary in a group of companies? If yes, please provide the complete shareholding chain to the holding company (highest instance). ⁴ <input type="checkbox"/> Yes <input type="checkbox"/> No
	Name of the parent company
	Address
	Equity participation rate
	Name of the parent company
	Address
	Equity participation rate
	Name of the holding company
	Address
	Equity participation rate
2	Is your company the parent in a group of companies? If yes, please provide details of the subsidiaries. <input type="checkbox"/> Yes <input type="checkbox"/> No
	Name of the subsidiary
	Address
	Equity participation rate
	Name of the subsidiary
	Address
	Equity participation rate
	Name of the subsidiary
	Address
	Equity participation rate
	Should the group of companies consists of more companies than space is available, please continue here (explanations can also be supplemented by an organisational chart):

⁴ In case of complex ownership structures (more than 3 hierarchical levels) please provide an organisational structure chart.

Politically Exposed Persons (PEPs)

Is your company or a beneficial owner

1	a PEP?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	a family member of a PEP?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	a person known to be a close associate of a PEP?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If you have answered any question with "Yes", please add the following details:

Name of person
Position within the company
Relationship to your company / beneficial owner

Sanctions

Is the company or the beneficial owner subject to sanctions (e.g. EU sanctions regulations, OFAC, UN)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Customer Risk

1	Has your company been subject to any civil, administrative or criminal sanctions, including public warnings, by any court or regulatory body? If "yes": how serious were these and did you rectify the identified deficiencies? Please describe:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Do you offer business relationships (accounts) for bank shell companies? If "no": which security systems do you use to identify shell companies or other constructions that promote non-transparency among your customers? Please describe:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	Are your customers allowed to directly access the trading systems of Munich Stock Exchange?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4	Does your company or their authorised representatives maintain business or personal contacts in countries that are associated with a higher risk of corruption or money laundering/terrorist financing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5	Do you have relationships with countries/states whose financial systems, according to credible sources (e.g. mutual evaluations, detailed assessment reports or published follow-up reports), do not have adequate systems to prevent, detect and combat money laundering and terrorist financing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6	Is your company a public administration or enterprise?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Comments

Space for additional information:

Appendix – Document review			
1	Extract of the company register or a comparable register including the authorised representatives	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Power of attorney if the right of representation could not be found in the extract of the company register or a comparable register	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	Company's signature list	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4	In case of complex ownership structures (more than 3 hierarchical levels) an organisational chart	<input type="checkbox"/> Yes	<input type="checkbox"/> No

KYC Documentation and Update
<p>All documents relevant for a KYC - process in the context of money laundering prevention are available on the website of the trading participant under the link:</p> <p>_____</p> <p>The documents deposited there are constantly updated and supplement this questionnaire, especially in case of changes in the information provided.</p>

5 Signature

The Trading Participant hereby confirms that all details provided are correct und complete.

The Trading Participant hereby confirms that it consents to the processing of the information and personal data contained therein for the purpose of anti-money laundering.

Authorised representative
Place
Date
Name
Position within company
Signature / Stamp
To be signed by authorised representatives only.

Authorised representative
Place
Date
Name
Position within company
Signature / Stamp
To be signed by authorised representatives only.

Please submit the completed questionnaire and required attachments for eligibility to trade to aml@boerse-muenchen.de.