

New Trading Counterparty

1 Trading Instructions

Exchange of trading instructions between (in the following „the client“):

and

flatex Bank AG (FTXB)
Rotfeder-Ring 7
60327 Frankfurt am Main, Germany

Each party provides the other party with the following documents and information:

- a current excerpt from the commercial register or a comparable document
- standing settlement instructions
- a current annual report (preferably in german or english language)

• Commercial register number.....:	
• Commercial registry office.....:	
• Exact description of legal form..:	
• Affiliation with group.....:	
• Domicile of the association.....:	
• GIIN.....:	
• VAT-Number.....:	

Description of main business activity of the client:

Bank	<input type="checkbox"/>
Insurance company	<input type="checkbox"/>
Pension fund	<input type="checkbox"/>
Asset Manager	<input type="checkbox"/>
Other	<input type="checkbox"/>



The client is regulated by a national supervisory authority for the finance industry:

Yes No

- Name of authority.....:
- Membership Number.....:
- Legal Entity Identifier.....:

The agreement is valid for the following products:

- 1.....
- 2.....
- 3.....

Security transaction orders are exclusively authorized to be made and accepted by the client counterparty from the following persons. FTXB will be informed immediately by the client in case these contact persons & numbers should change.

Name: <input type="text"/>	Phone: <input type="text"/>
Name: <input type="text"/>	Phone: <input type="text"/>
Name: <input type="text"/>	Phone: <input type="text"/>

Declaration concerning the economic beneficiary:

- The client is a financial establishment (lending institution, financial services provider, finance company): Yes No
- The client is an insurance company that offers accident insurance policies with premium refund or life insurance policies: Yes No

If no both, the business will always be transacted on own account
 on own or third-party account
 exclusively on third-party account

2 Confirmations

FTXB may send trade confirmations to

E-Mail address:

Fax number:

3 Settlement & Compliance Contact Details

Settlement contact person 1..

Phone.....:

Fax...:

E-Mail.....:

Settlement contact person 2...

Phone.....:

E-Mail.....:

Fax...:

Compliance contact person 1.

Phone.....:

Fax...:

E-Mail.....:

Compliance contact person 2..

Phone.....:

E-Mail.....:

Fax...:

4 Markets in Financial Instruments Directive (MiFIDII)

MiFIDII is an European Directive that was implemented in all member states of the European Union on January 3rd 2018.

1. Client categorisation

FTXB is required by MiFIDII to classify all its clients into the following categories:

1. Retail client
2. Professional Client
3. Eligible Counterparty

Categorisation as a Professional Client

The client has been classified as an **Professional Client** in respect of all business conducted for him, on the basis criteria set by MiFIDII.

The classification as a “professional client” involves several statutory obligations for FTXB; compliance with these obligations shall be ensured by the measures set out below.

These include, first of all, the transmission of the information to be provided by FTXB within the framework of a business relationship:

- Terms of Business – Professional Client
- Execution Policy

FTXB kindly asks the client to confirm that he has taken notice of these documents on the website **www.kochbank.de**.

2. MiFIDII Post-Trade transparency

According to European MiFIDII directive FTXB will disclose OTC trades if FTXB is the selling counterpart of the OTC trade.

Should you require any further information regarding MiFIDII or any of the details contained in this letter, please do not hesitate to contact compliance@flatex.com

5 Signatures

1. name in print letters

Legally binding signature and title
of a company officer recorded in the
commercial register

2. name in print letters

Company stamp

Please feel free to scan the documentation and confirmation and send it electronically to
compliance@flatex.com