

Self-declaration by companies of tax residence, beneficial owners and control persons

Original for the Management Company

Comments:

Register number:

Please send the completed self-declaration to:

IPConcept (Luxemburg) S.A.
c/o DZ PRIVATBANK S.A.
(Registrar and Transfer Agent)
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Please read these instructions carefully before filling out the form.

The automatic exchange of information in accordance with Directive 2014/107/EU of the Council as regards mandatory automatic exchange of information in the field of taxation and the Common Reporting Standard (CRS), a notification and due diligence process developed by the OECD for the international, automatic exchange of information from financial accounts implemented in accordance with intergovernmental agreements. For this purpose, if the conditions are present for a reporting obligation, reporting financial institutions provide information annually about the applicant and reporting registers, and passive entities about their beneficial owners or controlling persons, to the local tax authority, which, in turn, forwards it to the tax authorities of the countries in which the applicant(s) is resident for tax purposes.

This form remains valid as long as no changes concerning the situation that affect the tax status of the applicant or the other mandatory disclosures arise. You are required to inform us of any changes in circumstances that are relevant for this self-declaration and to provide us with an update of the self-declaration and any other documentation.

Please fill out this form if you are required to make a self-declaration on behalf of a legal entity as an applicant or are the applicants of a "passive NFE" or act as an investment company resident in a non-PARTICIPATING COUNTRY and is administered by another financial institution.

The definitions can be found in the accompanying glossary.

If you are filling out the form on behalf of an applicant or the CONTROLLING PERSON(S), please specify the capacity in which you are signing in section 4.

Please note that as a financial institution we are not authorised to provide legal or tax advice. For questions regarding the form, the instructions or the determination of your tax status, please contact your tax advisor or the competent tax authority.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Part I - Identity and tax residence of the legal entity that maintains the register

1. Identity of the legal entity

Legal entity	
A. Name of the legal entity/branch office:	
B. Country of incorporation/registered office of the company:	
C. Current business address:	<i>Street, number, postcode, city / province / state, country</i>
D. Postal address: (if different from the address under C)	<i>Street, number, postcode, city / province / state, country</i>

2. Tax residence of the legal entity and tax identification number (TIN)

In the following table, please enter:

- (i) the tax residence of the legal entity and
- (ii) the TIN of the legal entity for each listed country.
- (iii) If the applicant is not resident for tax purposes in any country (e.g. because he is fiscally transparent), please enter this in line 1 and inform us of the actual registered office of the management or the country in which the company is located
- (iv) If the applicant is resident for tax purposes in more than three countries, please use an additional sheet.

Country of residence for tax purposes:	Tax identification number(s) (TIN):	If no TIN is available, please indicate appropriate supporting documentation (A or B)*:
1		
2		
3		

*)

A: The country in which the applicant is subject to tax does not assign TIN to its residents.

B: The applicant is unable to obtain a TIN or comparable number for any other reason (for the case that answer B is selected, please provide an explanation in the table below as to why a TIN cannot be obtained).

Statement on B:

1	
2	
3	

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Part II - Status of the legal entity

1. Please select the status of the applicant:

1 a) Financial institution - Investment company	
i. Investment company that is not established in a PARTICIPATING COUNTRY and administered by another FINANCIAL INSTITUTION. (Note: for this type please also complete Part III below)	<input type="checkbox"/>
ii. Other investment company	<input type="checkbox"/>
1 b) Financial institution - custodian bank, depository or SPECIFIC INSURANCE COMPANY	<input type="checkbox"/>

If you have ticked (a) or (b), please provide, if available, the Global Intermediary Identification Number (GIIN) issued to the applicant for FATCA purposes:

1 c) ACTIVE NFE – a company whose shares are regularly traded on a recognised securities market or a company connected to such a company.	<input type="checkbox"/>
---	--------------------------

If you ticked (c), please tell us the name of the recognised securities market on which the company's shares are traded on a regular basis, with:

If you are connected to a regularly traded company, please provide the name of this company with which the company reported under (c) is connected:

1 d) ACTIVE NFE - a government entity or a central bank	<input type="checkbox"/>
1 e) ACTIVE NFE - an international organisation	<input type="checkbox"/>
1 f) ACTIVE NFE - as defined in the accompanying glossary, which are not covered by (c) to (e)	<input type="checkbox"/>
1 g) PASSIVE NFE (Note: in this case, please also fill in Part III below)	<input type="checkbox"/>

2. If you ticked 1(a)(i) or 1(g), please indicate the nature of the CONTROLLING PERSON(S) of the applicant (*please fill in only if you are resident for tax purposes in one or more reporting states*)

Tick all that apply:

2 a) CONTROLLING PERSON of a legal entity - control through ownership Natural person (beneficial owner) holds more than 25% in the capital directly or indirectly (through natural persons and/or legal entities). Interest in the amount of _____%	<input type="checkbox"/>
2 b) CONTROLLING PERSON of a legal entity - control by other means Natural person (beneficial owner) exercises control over the company in any other way. Please explain: _____	<input type="checkbox"/>
2 c) CONTROLLING PERSON of a legal entity - position as senior managing official Natural person (beneficial owner) holds a position as senior managing official.	<input type="checkbox"/>

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Part III - Identity and tax residence of CONTROLLING PERSON(S)

1. Identity and tax residence of CONTROLLING PERSON 1

	CONTROLLING PERSON
A. Name of CONTROLLING PERSON	<i>First name, Last name or Family name(s):</i>
B. Current residence:	<i>Street, number, postcode, city / province / state, country</i>
C. Postal address: (if different from the address under B)	<i>Street, number, postcode, city / province / state, country</i>
D. Date of birth: (DD/MM/YYYY)	
E. Place of birth/country of birth:	

In the following table, please enter:

- (i) the tax residence of the CONTROLLING PERSONS and
- (ii) the TIN of the CONTROLLING PERSONS for each listed country.
- (iii) If the CONTROLLING PERSON is resident for tax purposes in more than three countries, please use an additional sheet.

Country of residence for tax purposes:	Tax identification number(s) (TIN):	If no TIN is available, please indicate appropriate supporting documentation (A or B)*:
1		
2		
3		

*)

A: The country in which the applicant is subject to tax does not assign TIN to its residents.

B: The applicant is unable to obtain a TIN or comparable number for any other reason (for the case that answer B is selected, please provide an explanation in the table below as to why a TIN cannot be obtained).

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Statement on B:

1	
2	
3	

2. Identity and tax residence of CONTROLLING PERSON 2

CONTROLLING PERSON	
A. Name of CONTROLLING PERSON:	<i>First name, Last name or Family name(s):</i>
B. Current residence:	<i>Street, number, postcode, city / province / state, country</i>
C. Postal address: (if different from the address under B)	<i>Street, number, postcode, city / province / state, country</i>
D. Date of birth: (DD/MM/YYYY)	
E. Place of birth/country of birth:	

In the following table, please enter:

- (i) the tax residence of the CONTROLLING PERSONS and
- (ii) the TIN of the CONTROLLING PERSONS for each listed country.
- (iii) If the CONTROLLING PERSON is resident for tax purposes in more than three countries, please use an additional sheet.

Country of residence for tax purposes:	Tax identification number(s) (TIN):	If no TIN is available, please indicate appropriate supporting documentation (A or B)*:
1		
2		
3		

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

*)

A: The country in which the applicant is subject to tax does not assign TIN to its residents.

B: The applicant is unable to obtain a TIN or comparable number for any other reason (for the case that answer B is selected, please provide an explanation in the table below as to why a TIN cannot be obtained).

Statement on B:

1	
2	
3	

3. Identity and tax residence of CONTROLLING PERSON 3

CONTROLLING PERSON	
A. Name of CONTROLLING PERSON:	<i>First name, Last name or Family name(s):</i>
B. Current residence:	<i>Street, number, postcode, city / province / state, country</i>
C. Postal address: (if different from the address under B)	<i>Street, number, postcode, city / province / state, country</i>
D. Date of birth: (DD/MM/YYYY)	
E. Place of birth/country of birth:	

In the following table, please enter:

- (i) the tax residence of the CONTROLLING PERSONS and
- (ii) the TIN of the CONTROLLING PERSONS for each listed country.
- (iii) If the CONTROLLING PERSON is resident for tax purposes in more than three countries, please use an additional sheet.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Country of residence for tax purposes:	Tax identification number(s) (TIN):	If no TIN is available, please indicate appropriate supporting documentation (A or B)*:
1		
2		
3		

*)

A: The country in which the applicant is subject to tax does not assign TIN to its residents.

B: The applicant is unable to obtain a TIN or comparable number for any other reason (for the case that answer B is selected, please provide an explanation in the table below as to why a TIN cannot be obtained).

Statement on B:

1	
2	
3	

4. Identity and tax residence of CONTROLLING PERSON 4

CONTROLLING PERSON	
A. Name of CONTROLLING PERSON:	<i>First name, Last name or Family name(s):</i>
B. Current residence:	<i>Street, number, postcode, city / province / state, country</i>
C. Postal address: (if different from the address under B)	<i>Street, number, postcode, city / province / state, country</i>
D. Date of birth: (DD/MM/YYYY)	
E. Place of birth/country of birth:	

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

In the following table, please enter:

- (i) the tax residence of the CONTROLLING PERSONS and
- (ii) the TIN of the CONTROLLING PERSONS for each listed country.
- (iii) If the CONTROLLING PERSON is resident for tax purposes in more than three countries, please use an additional sheet.

Country of residence for tax purposes:	Tax identification number(s) (TIN):	If no TIN is available, please indicate appropriate supporting documentation (A or B)*:
1		
2		
3		

*)

A: The country in which the applicant is subject to tax does not assign TIN to its residents.

B: The applicant is unable to obtain a TIN or comparable number for any other reason (for the case that answer B is selected, please provide an explanation in the table below as to why a TIN cannot be obtained).

Statement on B:

1	
2	
3	

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

PART IV - Declaration and signature

I certify that I am authorised to sign for the applicant/for the CONTROLLING PERSON in matters relating to all registers specified in this form.

I hereby declare that I have provided all the information/statements in this document to the best of my knowledge and that these are complete and correct.

I hereby undertake to inform the Management Company within 30 days of any changes that affect the status of the tax residence of the applicant/the CONTROLLING PERSON or inaccuracies that such information gives rise to (including all changes in the information about CONTROLLING PERSONS), and to provide the Management Company with a self-declaration which has been updated accordingly and declaration within 30 days of this change.

I confirm with my signature that I have understood the consequences of not observing the notification obligation or of failing to comply with the **30-day time limit**. Furthermore, I confirm that I have not provided the Management Company, the registrar and transfer agent or employees or agents thereof with contradicting information, either directly or indirectly.

Within the scope of proper execution of the business transaction, personal data of the applicant shall be processed in accordance with the data protection laws applicable in Luxembourg and the GDPR.

Data protection provisions can be found in Annex 1 (data protection information).

Name (in BLOCK CAPITALS):

Date (DD/MM/YYYY) / Signature:

Please note: please indicate the capacity in which you are signing this form

If you are authorised to sign by power of attorney, please enclose a certified, current power of attorney or a comparable proof.

Capacity:

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

Glossary

The term **Non-Financial Entity (NFE)** means a LEGAL ENTITY that is not a financial institution.

The term "**ACTIVE NFE**" means an NFE which meets one of the following criteria:

- a) Less than 50% of the gross income of the NFE in the preceding calendar year or in another suitable reporting period is passive income, and less than 50% of the assets owned by the NFE during the preceding calendar year or other appropriate reporting period are assets with which passive income is generated or is intended to be generated.
- b) The shares of the NFE are regularly traded on a recognised stock exchange, or the NFE is an affiliated entity of a LEGAL ENTITY whose shares are regularly traded on a recognised stock exchange.
- c) The NFE is a STATE LEGAL ENTITY, an international organisation, a central bank or a LEGAL ENTITY that is wholly owned by one or more of the aforementioned institutions.
- d) Essentially, all the activities of the NFE consist of the (full or partial) participation in one or more subsidiaries which issue the shares and which exercise activities other than those of a financial institution; and, in the financing and provision of services to those subsidiaries, with the exception that a LEGAL ENTITY does not meet the criteria for this status if it operates as an investment fund (or is designated as such), such as a private equity fund, a venture capital fund, a leveraged buyout fund or an investment vehicle whose purpose is to acquire companies or to finance and then to hold shares in these companies as assets.
- e) The NFE does not yet operate any business and has not operated any business in the past, but invests capital in assets with the intention of operating a business other than that of a financial institution; however, the NFE does not fall within the scope of this exemption after the date that follows a period of 24 months from the date of incorporation of the NFE.
- f) The NFE was not a FINANCIAL INSTITUTION in the last five years and is currently selling its assets or is undergoing restructuring with the intent of continuing or resuming an activity other than that of a financial institution.
- g) The activities of the NFE consist primarily of financing and hedging of transactions with or for affiliated legal entities that are not financial institutions, and it does not provide financing or hedging services for LEGAL ENTITIES that are not affiliated legal entities, subject to the proviso that the group of these affiliated legal entities primarily exercises a different business than that of a financial institution.
- h) The NFE meets all of the following requirements:
 - i) it is set up and operated in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, sporting or educational purposes, or it is set up and operated in its country of residence and is a professional association, an association of businessmen, a Chamber of Commerce, a workers' organization, an agricultural or horticultural association, a civic association or an organization that is operated exclusively for promoting the general welfare.
 - ii) it is exempt from income tax in its country of residence.
 - iii) it has no shareholders or members that have ownership or rights of use of its income or assets.
 - iv) under the applicable laws of the country of residence or the documents relating to the NFE's formation, its income and assets may not be distributed to an individual or a non-profit LEGAL ENTITIES or be used for their benefit, except in accordance with the exercise of the non-profit activities of the NFE, as payment of a reasonable compensation for services rendered or payment corresponding to the market value of an asset acquired by the NFE.
 - v) under the applicable law of the country of residence or the documents relating to the NFE's formation, all its assets to a country LEGAL ENTITY or another non-profit organisation must be distributed at his winding up or dissolution or are due to the government of the country of residence of the NFE or a local authority thereof.

A "**PASSIVE NFE**" is an NFE, which is not i) an active NFE or ii) an investment company that is not established in a PARTICIPATING COUNTRY and administered by another financial institution.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

An **"INVESTMENT COMPANY that is not established in a PARTICIPATING COUNTRY and administered by another financial institution"** is a company whose gross income is primarily attributable to the investment or reinvestment of financial assets or trading and the company is managed by a deposit institution, a depository institution, a SPECIFIED INSURANCE COMPANY and is not established in a PARTICIPATING COUNTRY.

The term **"CONTROLLING PERSONS"** means the natural persons who control a LEGAL ENTITY. If the legal entity is a PASSIVE NFE, a financial institution must determine whether the controlling person is reportable. The term must be interpreted in a manner that is consistent with the FATF Recommendations ("beneficial owner").

The term **"LEGAL ENTITY"** means a legal person or a legal entity such as a corporation, a partnership, a trust or a foundation.

The term **"STATE LEGAL ENTITY"** means the government of a State, a local authority of a state (which may be, to remove any doubts, among other things, a member state, a province, a district or a municipality) or an authority or institution which is wholly owned by a Member State or another state or one or more local authorities (each a "STATE LEGAL ENTITY"). This category consists of the major instances, controlled legal entities and authorities of a state.

The term **"PARTICIPATING STATE"** means a state with which an agreement has been concluded that requires it to disclose information in the context of the Common Reporting Standard.

The term **"REPORTING STATE"** means a state which is required to transfer the information relating to the register(s).

The term **"REPORTING PERSON"** means a natural or legal person who is resident for tax purposes in a REPORTING STATE. In principle this is the applicant, but not: i) a corporation whose shares are regularly traded on one or more recognised stock exchanges, ii) a corporation that is an affiliated legal entity of a corporation under paragraph i), iii) a STATE LEGAL ENTITY, iv) an international organisation, v) a central bank, or vi) a financial institution.

The term **"NON-REPORTING FINANCIAL INSTITUTION"** means a financial institution that is the following:

- a) a STATE LEGAL ENTITY, an international organisation or a central bank, except for payments that come from an obligation in the context of commercial financial activities, which correspond to those of a SPECIFIED INSURANCE COMPANY of a depository or a deposit institution,
- b) a pension fund with a broad, small interest, a pension fund of a STATE LEGAL ENTITY, an international organisation or a central bank or a qualified credit card provider,
- c) another LEGAL ENTITY which is regarded under the law of the country of residence as a NON-REPORTING FINANCIAL INSTITUTION,
- d) an exempt undertaking for collective investment, or
- e) a trust, to the extent the trustee of the trust is a REPORTING FINANCIAL INSTITUTION and reports all reports in accordance with Section I for reporting information on all REPORTABLE ACCOUNTS of the trust.

The term **"REPORTING FINANCIAL INSTITUTION"** means a financial institution that is not a NON-REPORTING FINANCIAL INSTITUTION.

The term **"SPECIFIED INSURANCE COMPANY"** means a legal entity which is an insurance company (or the holding company of such insurance company) that concludes a REDEEMABLE INSURANCE CONTRACT, or a retirement annuity contract or is required to make payments with respect to such a contract.

The term **"TIN"** (Taxpayer Identification Number) means the tax identification number of the taxable person or a functionally comparable number if a TIN does not exist.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

ANNEX 1

Information regarding data protection

How we work with your data and your rights
- Information pursuant to Art. 13, 14 and 21 of the European General Data Protection Regulation (GDPR) -

Dear Client,

Below, we are informing you about the processing of your personal data by us and the rights granted to you by the data protection regulations.

Which data are processed specifically and in what manner they are used is primarily based on the services agreed or requested.

1. Who is responsible for the data processing and whom can I contact?

Jointly responsible parties are:

DZ PRIVATBANK S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Postal address
DZ PRIVATBANK S.A.
PO Box 661
L - 2016 Luxembourg

Tel. +352 44 903 1
Fax: +352 44 903 2001
Email: info@dz-privatbank.com

IPConcept (Luxemburg) S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Postal address
IPConcept (Luxemburg) S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Tel. +352 260 248-1
Fax: +352 260 248-4955
Email: info@ipconcept.com

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

You can reach out Data Protection Officer at:

DZ PRIVATBANK S.A.
Data Protection Officer
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Postal address
DZ PRIVATBANK S.A.
Data Protection Officer
PO Box 661
L - 2016 Luxembourg

Tel. +352 44 903 1
Fax: +352 44 903 2001
Email: datenschutz@dz-privatbank.com

2. What sources and data do we use?

We process personal data, which we received from you pursuant to our business contact or our business relationship. In addition, we process personal data, which we have lawfully received from other companies of the Cooperative Financial Group, credit unions, Raiffeisen banks or other third parties to the extent that such is necessary for providing our services (e.g. in order to execute orders, fulfil contracts or on the basis of consent that you provided). We also process personal data, which we have lawfully obtained from publicly accessible sources and are allowed to process (e.g. debtor registries, land ownership registries, commercial registries, the press, media).

Relevant personal data are *personal information* (name, address and other contact information, date of birth and place of birth and nationality), *data establishing capacity* (e.g. data from the identification document) and authentication data (e.g. a signature sample). Furthermore, these can also be *order data* (e.g. payment order, securities order), *data from fulfilling our contractual obligations* (e.g. sales data for payment transactions, credit limit, product data [e.g. deposit, credit and securities transactions]), *information about your financial situation* (e.g. data regarding creditworthiness, scoring/ratings data, origin of assets), *promotional and marketing data* (including advertising scores), *documentation data* (e.g. advisement log), *registry data*, *data about the use of our offered telemedia services* (e.g. the data of accessing our websites, apps or newsletter, pages clicked on that are owned by us or entries) as well as other data that are comparable with the abovementioned categories.

3. For what purpose do we process your data (purpose of processing) and on what legal basis?

We process personal data in accordance with the provisions of the European General Data Protection Regulation (GDPR) and the respectively applicable national law.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

3.1 For fulfilment of contractual obligations (Art. 6, para. 1b GDPR)

The processing of personal data (Art. 4, no. 2 GDPR) occurs for the purpose of providing and brokering bank transactions, financial services and insurance and real estate transactions, especially for executing our agreements or carrying out pre-contractual measures with you and for executing your orders, as well as for all required activities related to the operation and administration of a banking and financial services institution.

The purposes of data processing are mainly based on the specific product (e.g. account, credit line, securities, deposits, brokerage, online banking, fund services) and can include needs analyses, advisement, asset management and support as well as the execution of transactions.

You can find additional details regarding the purpose of data processing in the respective contractual documents and business terms and conditions.

3.2 As part of weighing interests (Art. 6, para. 1f GDPR)

To the extent necessary, our processing of your data goes beyond actually fulfilling the agreement for the preservation of legitimate interests on our part or the part of third parties, for example in the following cases:

- consultation and data exchange with informational agencies for the determination of creditworthiness and default risks and the need for an account that is protected from garnishments or a base account;
- review and optimisation of procedures for needs analysis and direct client contact;
- advertising or market and opinion research, to the extent that you have not objected to the use of your data;
- assertion of legal claims and defence in the case of legal disputes;
- guarantee of IT security and the IT operation of the bank;
- prevention and investigation of criminal acts;
- video surveillance serves to collect evidence in the case of criminal acts or proof of obtainment of funds and deposits at deposit and withdrawal locations. They thus serve to protect clientele and employees as well as to ensure compliance with company regulations;
- measures for ensuring the safety of buildings and facilities (e.g. access controls);
- measures of ensuring compliance with company regulations;
- measures for business management and further development of products and services.

3.3 On the basis of your consent (Art. 6, para. 1a GDPR)

To the extent that you have provided us with consent for the processing of personal data for certain purposes (e.g. dissemination of data within the Group, analysis of payment transaction data for marketing purposes), the legality of such processing is based on your consent. Consent may be revoked at any time. This also applies to the revocation of declarations of consent, which were provided to us prior to the effective date of the GDPR, i.e. prior to 25 May 2018.

Please note that the revocation is only effective in the future. Processing activities, which occurred prior to the revocation, are not affected.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

3.4 On the basis of legal regulations (Art. 6, para. 1c GDPR) or in the public interest (Art. 6, para. 1e GDPR)

In addition, as a bank we are subject to numerous legal obligations, i.e. legal requirements as well as regulations from the banking oversight authorities (e.g. the European Central Bank, the European Bank Oversight Authority, the Commission de Surveillance du Secteur Financier, the Central Bank of Luxembourg, the German Central Bank and the German Agency for Financial Services Oversight). Among other things, review of creditworthiness, verification of identity and age, fraud and money laundering prevention, the fulfilment of control and reporting obligations pursuant to tax law and the evaluation and management of risks are purposes for data processing.

4. Who shall receive my data?

Within the bank, your data shall be accessed by the offices that have a need for such in order to fulfil our contractual and legal obligations. Contract data processors employed by us (Art. 28 GDPR) may also obtain data for the specified purposes. These are companies in the categories of loan and financial services, IT services, logistics, print services, telecommunications, collections, advisement and consulting as well as sales and marketing.

With respect to the dissemination of data to recipients outside of the bank, it should first be noted that we are bound to the applicable legal provisions and the General Business Terms and Conditions agreed between you and us regarding secrecy of all client-related facts and evaluations, of which we obtain knowledge (banking secrecy). We may only disseminate information about you if such is required pursuant to legal regulations, you have provided consent for such or we are authorised to provide banking information. Subject to these requirements, recipients of personal data can be, for example:

- public agencies and institutions (e.g. German Central Bank, German Agency for Financial Services Oversight, Commission de Surveillance du Secteur Financier, Central Bank of Luxembourg, European Banking Oversight Authority, European Central Bank) if there is a legal obligation or an order from the authority.
- Other banking or financial services institutions or comparable facilities, to which we transmit your personal data for the purpose of executing the business relationship (depending on the agreement: e.g. companies of the Cooperative Banking Group, credit unions, Raiffeisen banks, correspondent banks, securities deposit banks, stock exchanges, informational agencies).

Additional data recipients can be those agencies, for which you have provided us your consent for data transmission or for which you have released us from the obligation of banking secrecy on the basis of the agreement or consent.

5. How long will my data be stored?

To the extent necessary, we shall process and store your personal data for the duration of our business relationship, which also includes, for example, the initiation and winding up of an agreement. It should be noted that our business relationship may last for several years.

In addition, we are subject to statutory and regulatory retention and documentation obligations. The time periods specified there for retention or documentation amount to up to ten years after the creation of or five years after the termination of the business relationship.

Finally, the storage duration is also determined by the statutory limitation periods, which may be up to thirty years in individual cases.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

6. Will data be transmitted to a third party country or to an international organisation?

Data transmission to third party countries (countries outside of the European Economic Area – EEA) shall only take place to the extent that such is required for the execution of your orders (e.g. payment or securities transaction orders), is legally prescribed or you have provided consent to us for such. To the extent that such is prescribed by law, we shall provide you with details separately.

7. What data protection rights do I have?

Each data subject has a right to:

- **Information** pursuant to Art. 15 GDPR,
- **Correction** pursuant to Art. 16 GDPR,
- **Erasure** pursuant to Art. 17 GDPR,
- **Limitation of processing** pursuant to Art. 18 GDPR,
- **Data portability** pursuant to Art. 20 GDPR,
- a **right of objection** to a data protection oversight authority pursuant to Art. 77 GDPR.

8. Is there an obligation to provide data?

Within the scope of our business relationship, you must only provide the personal data that are necessary for the establishment, execution and termination of a business relationship, or for which collection we are legally obligated. Without these data, we will normally have to decline the conclusion of an agreement or the execution of the order or we will no longer be able to execute an existing agreement and may have to terminate it.

We are especially obligated, in accordance with the money laundering regulations, to identify you prior to establishing a business relationship, for example on the basis of your personal identification document, and must at least collect your name, your place of birth, your date of birth, your nationality and your residential address. In order for us to be able to comply with this legal obligation, you must provide us with the necessary information and documents in accordance with the applicable regulations for the prevention of money laundering and the financing of terrorism and immediately notify us of any changes occurring during the course of the business relationship. If you should not provide us with the necessary information and documents, we will not establish the business relationship that you requested.

9. To what extent is there automated decision-making in individual cases?

For the establishment and execution of the business relationship, we primarily do not utilise fully automated decision-making within the meaning of Art. 22 GDPR. If we should employ these procedures in individual cases, we shall inform you of this separately to the extent that such is prescribed by law.

10. To what extent will my data be used for profiling (scoring)?

We occasionally process your data automatically with the goal of evaluating certain personal aspects (profiling). For example, we use profiling in the following cases:

- Due to legal and regulatory specifications, we are obligated to combat money laundering, the financing of terrorism and criminal acts that compromise assets. In doing so, data evaluations (including payment transactions) are also performed. These measures also serve for your protection.

Self-declaration by legal entities of tax residence, beneficial owners and control persons

Original for the Management Company

- In order to be able to inform you and advise you about products in a targeted manner, we utilise analysis tools. These allow communication and advertising including market and opinion research as needed.

Information about your right of objection pursuant to Art. 21 of the General Data Protection Regulation (GDPR)

1. You have the right to submit an objection at any time against the processing of personal data concerning you, which occurs on the basis of Art. 6, para. 1e GDPR (data processing in the public interest) and Art. 6, para. 1f GDPR (data processing based on a weighing of interests), for reasons that are specific to your particular situation; this also applies to profiling within the meaning of Art. 4, no. 4 GDPR based on this provision, which we employ for the purpose of determining creditworthiness or for advertising.

If you file an objection, we will no longer process your personal data unless we can prove that there are compelling legitimate grounds for the processing, which outweigh your interests, rights and freedoms, or that the processing serves the assertion, exercising or defence of legal claims.

2. In individual cases, we process your personal data in order to carry out direct advertising. You have the right to file an objection against the processing of personal data concerning you for the purpose of this type of advertising at any time; this also applies for profiling to the extent that such is in connection with direct advertising.

If you object to the processing for purposes of direct advertising, then we shall no longer process your personal data for these purposes.

The objection can be made to one of the responsible parties, in any form, and, if possible, should be directed to:

DZ PRIVATBANK S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Postal address
DZ PRIVATBANK S.A.
PO Box 661
L - 2016 Luxembourg

Tel. +352 44 903 1
Fax: +352 44 903 2001
Email: info@dz-privatbank.com

IPConcept (Luxemburg) S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Postal address
IPConcept (Luxemburg) S.A.
4, rue Thomas Edison
L-1445 Strassen, Luxembourg

Tel. +352 260 248-1
Fax: +352 260 248-4955
Email: info@dz-privatbank.com