

Deposit/Account number: _____

BAADER

Baader Bank Aktiengesellschaft
Weihenstephaner Strasse 4
85716 Unterschleissheim
Germany
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F +4989 5150 2442
service@baaderbank.de
https://www.baaderbank.de

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.

Information on determining the national ID

Due to the MiFID II/MiFIR provisions, it must be ensured that the data obtained to identify the person involved in securities trading is sent to the respective authorities. Please find the national customer identifier applicable to you in Appendix 1.

No specification is required for citizens of Austria, France, Germany, Hungary, Ireland and Luxembourg.

First deposit/account holder

Ms Mr Title: _____
Forename: _____
Surname: _____
Street/no.: _____
Additional address: _____
Postcode: _____ Place: _____
Country: _____

National ID description (e.g. Passport): _____
Identifier (e.g. ID number): _____
Issuing country: _____
Valid until: _____

Identifier according to first/second priority, if listed in Appendix 1, is not available.

Place, date: _____

x

Signature of first deposit/account holder

Second deposit/account holder

Ms Mr Title: _____
Forename: _____
Surname: _____
Street/no.: _____
Additional address: _____
Postcode: _____ Place: _____
Country: _____

National ID description (e.g. Passport): _____
Identifier (e.g. ID number): _____
Issuing country: _____
Valid until: _____

Identifier according to first/second priority, if listed in Appendix 1, is not available.

Place, date: _____

x

If applicable, signature of second deposit/account holder

Appendix 1 “National ID” for customers of the Bank

Due to the MiFID II/MiFIR provisions, it must be ensured that the data obtained to identify the person involved in securities trading is sent to the respective authorities. Therefore please provide us with your national customer identifier according to the procedure below.

1. General format - national ID

To create the National ID, combine the country code according to ISO Standard 3166-1 of the person’s nationality with the identifier from Table 1 below (identical to Table 1 in Appendix II to RTS 22) based on the person’s nationality.

2. Priorities of the identifiers

The identifier with the highest priority available to the participants must always be used. If the information with the first priority is not available, other identifiers may be used, under strict compliance with the priority levels stated in the table. For example, customers of the Bank from the UK must then notify their nationality (GB) and their UK national insurance number (first priority). If the national insurance number is not available, their nationality (GB) can be combined with their “CONCAT ID” (second priority in the example).

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3. CONCAT

One of the possible identifiers is the “CONCAT ID”, which is comprised of sequencing (“concatenation”) the following elements in the stated order:

- The person’s date of birth in the format YYYYMMDD
- The first five letters of the forename and
- The first five letters of the surname.

The Bank may automatically generate the CONCAT from the existing data. In order to use this, it is sufficient to confirm/convey that the first priority or, if stated, the second priority identifier does not exist.

4. Customers with more than one nationality

If a customer is a national of more than one country in the European Economic Area (EEA), the country identifier of the first nationality according to the sorting corresponding to its ISO 3166-1 alpha2-Code and the corresponding identifier of the first nationality determined in this manner are used. If a natural person is a national of an EEA country and a national of a non-EEA country, the identifier for the nationality of the EEA country is used.

5. National client identifiers for natural persons (ESMA 2016/1064 RTS 22, Annex II as at 1 July 2017)

The table below describes the priorities of the National IDs in accordance with the regulatory requirements:

ISO 3166 1 alpha 2	Country Name	1st priority identifier	2nd priority identifier	3rd priority identifier
AT	Austria	CONCAT		
BE	Belgium	Belgian National Number (Numéro d’immatriculation – Rijksregisternummer)	CONCAT	
BG	Bulgaria	National Passport Number	CONCAT	
CY	Cyprus	Nationale Passnummer	CONCAT	
CZ	Czech Republic	National Identification Number (Rodné číslo)	Passport Number	CONCAT
DE	Germany	CONCAT		
DK	Denmark	Personal identity code 10 digits alphanumeric: DDMMYYXXXX	CONCAT	
EE	Estonia	Estonian Personal Identification Code(Isikukood)		
ES	Spain	Tax identification number(Código de identificación fiscal)		
FI	Finland	Personal identity code	CONCAT	
FR	France	CONCAT		
GB	United Kingdom	UK National Insurance number	CONCAT	
GR	Greece	10 digit DSS investor share	CONCAT	
HR	Croatia	Personal Identification Number(OIB – Osobni identifikacijski broj)	CONCAT	
HU	Hungary	CONCAT		
IE	Ireland	CONCAT		
IS	Iceland	Personal Identity Code (Kennitala)		
IT	Italy	Fiscal code (Codice fiscale)		
LI	Liechtenstein	National Passport Number	National Identity Card Number	CONCAT
LT	Lithuania	Personal code (Asmens kodas)	National Passport Number	CONCAT
LU	Luxembourg	CONCAT		
LV	Latvia	Personal code (Personas kods)	CONCAT	
MT	Malta	National Identification Number	National Passport Number	
NL	Netherlands	National Passport Number	National Identity Card Number	CONCAT
NO	Norway	11 digit personal id (Foedselsnummer)	CONCAT	
PL	Poland	National Identification Number (PESEL)*	Tax Number	
PT	Portugal	Tax number (Número de Identificação Fiscal)	National Passport Number	CONCAT

ISO 3166 1 alpha 2	Country Name	1st priority identifier	2nd priority identifier	3rd priority identifier
RO	Romania	National Identification Number(Cod Numeric Personal)	National Passport Number	CONCAT
SE	Sweden	Personal identity number	CONCAT	
SI	Slovenia	Personal Identification Number(EMŠO: Enotna Maticna Stevilka)	CONCAT	
SK	Slovakia	Personal number (Rodné číslo)	National Passport Number	CONCAT
All other countries		National Passport Number	CONCAT	