

Oesterreichische Kontrollbank Aktiengesellschaft  
Accounting & Financial Control  
Service Center Account Information  
P.O. Box 70  
1011 Vienna  
AUSTRIA

Oesterreichische  
Kontrollbank Aktiengesellschaft

1010 Vienna, Strauchgasse 3, Austria  
Tel. +43 1 531 27-2220  
Fax +43 1 531 27-4220  
[account.info@oekb.at](mailto:account.info@oekb.at)  
[www.oekb.at](http://www.oekb.at)

Austrian Bank Code (BLZ) 10000  
Commercial Reg. No. FN 85749b,  
Commercial Court Vienna  
Registered Office: 1010 Vienna,  
Am Hof 4  
VAT-ID No. ATU 15350402  
Data Processing Register No.  
DVR 0052019  
LEI: 52990000VRLMF858L016

## Account Opening

### Application

We apply for an account with Oesterreichische Kontrollbank AG (OeKB). This account is subject to the latest version of OeKB's general terms and conditions for banking transactions, available at

<https://www.oekb.at/dam/jcr:c0347e1d-5db3-4c21-96da-8501cb27b95a/OeKB-AGB-2016-EN.pdf>

We apply for this account on the terms listed on the form below.

### General information about the account opening

**Company name**

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**Commercial Reg. No.**

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**Address**

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**ZIP code**

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**Town**

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**Country**

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**Telephone**

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**Fax**

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**E-mail**

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**BIC**

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**Homepage**

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**Date of account opening**

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If the given address on page 1 is not the registered office, please fill in the corporate headquarter:

**Address** \_\_\_\_\_

**ZIP code** \_\_\_\_\_

**Town** \_\_\_\_\_

**Country** \_\_\_\_\_

## Type of account

Accounts with Oesterreichische Kontrollbank AG (OeKB AG) are opened only for transactions related to the purpose of the account as mentioned below.

The account relationship does not represent correspondent banking according to § 2 number 5 und. § 10 FM-GWG.

Please choose the type of your account from the list below:

### OeKB standard accounts

**Currency** \_\_\_\_\_

- Account for export financing
- Other account for \_\_\_\_\_
- Other escrow account for \_\_\_\_\_
- Other collateral account for \_\_\_\_\_

### CCP.A Clearing of Stock Exchange Trades (in euros)

- Cash account (Settlement account)
- Cash escrow account
- Collateral account \*
- Collateral account as escrow account \*

### ECC Clearing (in euros)

- Cash account (Settlement account)
- Collateral account \*

### Energy Clearing (in euros)

- Cash account Energy Clearing (Settlement account)
- Collateral account APCS \*
- Collateral account APCS as escrow account \*
- Collateral account AGCS \*
- Collateral account AGCS as escrow account \*
- Collateral account EXAA \*
- Collateral account EXAA as escrow account \*
- Collateral account A&B \*
- Collateral account A&B as escrow account \*

\* Collateral accounts are only opened in combination with a standard or cash account (settlement account). Interest charges and fees are settled on this account.

Monthly account fees (interest charges and fees) for collateral accounts are debited to the following cash account with OeKB. Please note that OeKB does not offer foreign currency translation.

**IBAN** \_\_\_\_\_

### Additional information for the account opening

- Account settings should be done as defined for the following account with OeKB:

**IBAN** \_\_\_\_\_

- Further notes: \_\_\_\_\_

## Information account holder

### Company information

The account holder is (please announce your national legal regulations):

- a bank pursuant to § 1 BWG and CRR (only domestic banks)
- a bank pursuant to CRR (within the EEA)
- a bank pursuant \_\_\_\_\_
- a financial institut pursuant \_\_\_\_\_
- an investment firm pursuant \_\_\_\_\_
- an insurance company
- a public authority, municipality pursuant \_\_\_\_\_
- another company

### Information on the legal status and size of the company

The account holder is a corporation (e.g. plc., ltd.)  Yes  No

If so, please give us information on the size of the corporation according to your latest annual financial statement (according to §221 UGB)

**Total assets amount of balance sheet (in million euros)**

- up to 0,35     more than 0,35 up to 5     more than 5 up to 20     more than 20

**Revenue (in million euros)**

- up to 0,7     more than 0,7 up to 10     more than 10 up to 40     more than 40

**Annual average number of employees**

- up to 10     more than 10 up to 50     more than 50 up to 250     more than 250

## Information on the headquarters

Registered office = Headquarter  Yes  No

If no, please provide the following information about the address of the headquarter:

**Name** \_\_\_\_\_

**Address** \_\_\_\_\_

**ZIP code** \_\_\_\_\_

**Town** \_\_\_\_\_

**Country** \_\_\_\_\_

## Tax law information and declarations

**VAT number** \_\_\_\_\_

### *Common Reporting Standard (CRS/GMSG), reporting standards for the automatic exchange of financial account information*

The account holder provides the following information about his tax residence:

**Country of tax residence** \_\_\_\_\_

**National tax number (TIN)** \_\_\_\_\_

The account holder is a passive NFE \*  Yes  No

If so, please specify the controlling person(s):

**(Company-)Name** \_\_\_\_\_

**Address** \_\_\_\_\_

**ZIP code** \_\_\_\_\_

**Town** \_\_\_\_\_

**Country** \_\_\_\_\_

**(Company-)Name** \_\_\_\_\_

**Address** \_\_\_\_\_

**ZIP code** \_\_\_\_\_

**Town** \_\_\_\_\_

**Country** \_\_\_\_\_

\* Definition according §§ 93-95 GMSG

Link: [https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBLA\\_2015\\_I\\_116/BGBLA\\_2015\\_I\\_116.pdf](https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBLA_2015_I_116/BGBLA_2015_I_116.pdf)

***FATCA – Agreements to improve the cooperation in combating international tax evasion with the USA***

The account holder is a financial institute  Yes  No

If so, please fill in the GIIN: \_\_\_\_\_

The account holder is

an active NFFE  Yes  No

a passive NFFE  Yes  No

The account holder declares that the account to be opened will be kept by

- one or more specified US person(s) \*  Yes  No

- passive NFFEs with one or more controlling person(s)  
who are US citizen or resident in the United States \*  Yes  No

- a non-participating financial institution \*  Yes  No

- or there are other US indications (e.g. US tax number).  Yes  No

If so, please fill in the indications (e.g. US tax number) \_\_\_\_\_

\* All terms according to the agreements between the Republic of Austria and the United States of America on cooperation for a facilitated implementation of FATCA from 29/04/2014.

Link: <https://www.bmf.gv.at/steuern/int-steuerrecht/Abkommen-USA-FATCA.html>

## Trust relationship

The business relationship is performed for own account

Yes  No

If no, please provide the following information about the identity of the trustor:

Herewith you confirm that you yourself or a trusted third party (e.g. a lawyer or a notary) has checked the identity of the trustor and make all documents available for OeKB (e.g. copy of passport, current commercial register report, information of beneficial owner).

**Company name**

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**Commercial Reg. No.**

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**Contact person**

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**Address**

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**ZIP code**

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**Town**

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**Country**

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**Country of tax residence**

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**National tax number(s)**

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### Information on the trustor according the Common Reporting Standard (CRS/GMSG), reporting standard for the automatic exchange of financial account information

The trustor is a passive NFE \*

Yes  No

If so, please specify the controlling person(s)

**(Company-)Name**

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**Address**

---

**ZIP code**

---

**Town**

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**Country**

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\* Definition according §§ 93-95 GMSG

Link: [https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBLA\\_2015\\_I\\_116/BGBLA\\_2015\\_I\\_116.pdf](https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBLA_2015_I_116/BGBLA_2015_I_116.pdf)

## Information on the trustor to FATCA – Agreements to improve the cooperation in combating international tax evasion with the USA

The trustor is a bank  Yes  No

If so, please fill in the GIIN: \_\_\_\_\_

The trustor is

an active NFFE  Yes  No

a passive NFFE  Yes  No

The trustor is kept by

- one or more specified US person(s) \*  Yes  No

- passive NFFEs with one or more controlling person(s),  
who are US citizen or resident in the United States \*,  Yes  No

- a non-participating financial institution \*  Yes  No

- or there are other US indications (e.g. US tax number)  Yes  No

If yes, please fill in the US indications: \_\_\_\_\_

\* All terms according to the agreements between the Republic of Austria and the United States of America on cooperation for a facilitated implementation of FATCA from 29/04/2014.

*Link: <https://www.bmf.gv.at/steuern/int-steuerrecht/Abkommen-USA-FATCA.html>*

## Data form for opening of an account

The identity of the account holder is for verification in the account opening process (e.g. copy of passport). Only the account holder is entitled to use the account.

The account holder authorizes to sign on the accounts according separate sheet of specimen signatures or equal document of the applicant and prove the identity of all authorized signatories e.g. copy of passport.

**Contact person(s) who are responsible for account management (regarding master data maintenance, specimen signature, account disposition, etc.); for banks only also contact person for compliance and AML:**

**First name**

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**Last name**

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**Position**

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**Telephone/Fax**

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**E-mail**

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**First name**

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**Last name**

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**Position**

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**Telephone/Fax**

---

**E-mail**

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**First name**

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**Last name**

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**Position**

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**Telephone/Fax**

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**E-mail**

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**Preferred correspondence language**

- German       English

**Account statements will be sent to the following address:**

(Only if different from address given on page 1)

**Company name**

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**Contact person**

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**Address**

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**ZIP Code**

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**Town**

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**Country**

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**BIC**

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**Telephone**

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**Fax**

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**E-mail**

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**Type of dispatch**

- |   |    |                                   |
|---|----|-----------------------------------|
| <input type="radio"/> via post                      | or | <input type="radio"/> SWIFT MT940 |
| <input type="radio"/> via e-mail (max. 4 addresses) |    | <input type="radio"/> SWIFT MT950 |

## OeKB's service „Account Information“

The web application „Account Information“ is an easy way to get balances and transactions of your account held with OeKB in real time and any time you want. This service is free of costs.

To get access to this service please

- Register at the OeKB Login Portal (<https://login.oekb.at>) and name your administrator. The administrator will get a user-ID and a password. Your administrator is entitled to create new user accounts for this service, change user-passwords, etc. For using our Service Account Information, you need access to OeKB's Login Portal. For further information regarding OeKB's Login Portal (terms of use, price list, registration forms, etc.) please go to <https://www.oekb.at/en/oekb-group/account-management-and-online-access-/registering-for-the-login-portal.html>
- Register for Account Information  
<https://www.oekb.at/dam/jcr:20a8cd22-efc1-49d0-9fac-021eafef1e60/OeKB-Registration-Service-Account-Information.pdf>

Account Information is accessible via OeKB's Login Portal.

For further information regarding Service Account Information please do not hesitate to contact the Service Center Account Information at [account.info@oekb.at](mailto:account.info@oekb.at) or phone +43 1 531 27-2220.

## Information on data processing under the Austrian Financial Markets Anti-Money Laundering Act (FM-GwG)

The applicant confirms that he took note of the information:

<https://www.oekb.at/dam/jcr:e3c5a839-877c-478f-9177-defeeffb044e/OeKB-Information-data-processing-FM-GwG.pdf>

## Information on OeKB Privacy Policy according to Art 13 and 14 General Data Protection Regulation (GDPR)

OeKB processes personal data in accordance with data protection rules. Further information on data processing according to Art. 13 and 14 GDPR can be found at [www.oekb.at/en/privacy-policy](http://www.oekb.at/en/privacy-policy).

## Attachments

For the check due to Austrian Financial Markets Anti-Money Laundering Act (FM-GwG) and for the Know Your Customer process (KYC)

- Current commercial register report (not older than 6 weeks) in German or English. For companies from outside the EEA with notarially certification.
- FATCA-form W8 BEN-E – see also the link of IRS:  
[http://apps.irs.gov/app/picklist/list/formsInstructions.html;jsessionid=wJ+Tr5NYVn5OzPKpJWYOmg\\_\\_?value=w-8ben&criteria=formNumber&submitSearch=Find](http://apps.irs.gov/app/picklist/list/formsInstructions.html;jsessionid=wJ+Tr5NYVn5OzPKpJWYOmg__?value=w-8ben&criteria=formNumber&submitSearch=Find)
- Information on beneficial owners according to the UBO Register Act (WiEReG) § 2 WiEReG:  
<https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20009980>  
**“Beneficial owner(s)”** means the natural person(s) who ultimately own(s) or control(s) the entity and/or the natural person(s) on whose behalf a transaction or activity is being conducted. The beneficial owner at least includes:
  - a) In the case of corporate entities:
    - i. the natural person(s) who ultimately own(s) or control(s) a legal entity through **direct or indirect ownership** of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, **or through control via other means**, other than a company listed on a regulated market that is subject to disclosure requirements consistent with European Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25% plus one share or an ownership interest of more than 25% in the entity held by a natural person are criteria for **direct ownership**. A shareholding of 25% plus one share or an ownership interest of more than 25% in the entity held by a corporate entity, which is under the **control** of (a) natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), are criteria for **indirect ownership**. **“Control”** is defined as:
      - A shareholding of 50% plus one share or an ownership interest of more than 50%, each directly or indirectly held;
      - Majority of voting rights as shareholder with regard to the entity;
      - Shareholder’s right to appoint or dismiss the majority of the members of the administrative, management or supervisory bodies of the entity;
      - Right to exercise a controlling influence on the entity;
      - Right to the decision concerning the appointment or dismissal of the majority of the members of the administrative, management or supervisory bodies of the entity due to a contract with one or more shareholders of the entity, if necessary to obtain a majority of votes together with the own voting rights;
      - Exercising a function in a trust or a foundation which constitutes beneficial ownership as stated in items b) and c) below; and
      - Exercising control as trustor or comparable person through a trusteeship or a comparable legal relationship.
    - ii. if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point i. is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), **the natural person(s) who hold the position of senior managing official(s)**;
  - b) In the case of trusts:
    - i. the settlor;
    - ii. the trustee(s);
    - iii. the protector, if any;
    - iv. the beneficiaries, or – if the individuals benefiting from the trust still have to be determined – the class of persons in whose main interest the trust is set up or operates (class of beneficiaries); if persons out of this class receive payments from the trust in an amount exceeding EUR 2,000 in a calendar year, these persons are deemed to be beneficiaries in the respective calendar year; and
    - v. any other natural person exercising ultimate control over the trust by other means;

c) in the case of legal entities such as foundations and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in item b) above, which are in case of a private foundation:

- i. the founder;
- ii. the beneficiaries or – if the individuals benefiting from the private foundation are chosen by separate determination – the class of persons out of which the beneficiaries are chosen by separate determination (class of beneficiaries); whereas if certain persons out of this class receive payments from the private foundation in an amount exceeding EUR 2,000 in a calendar year, these persons are deemed to be beneficiaries in the respective calendar year);
- iii. the members of the foundation’s governing board and
- iv. any other natural person who ultimately controls the private foundation by other means.

To prove the identity of the UBO a photo identification of every person is required (passport or ID-card.)

- Certification of Residence from national tax authorities (only concerns foreign business partners)
- Copy and translation of the bank license (banks only)
- Current Wolfsberg Questionnaire (banks only)
- Latest annual report
- Proof of identity of the prospective account holder (color copy or scan of passport of the members of the board of executive directors or the managing director(s))
- List of authorized signatures and color copy or scans of passport of the authorized signatories  
<https://www.oekb.at/dam/jcr:a820cfcc-9714-4c8e-b44d-0a616e4a74cb/OeKB-Specimen-Signatures.pdf>
- List of contact persons for account management (including position, phone, fax and e-mail), if point page 8 is not sufficient. Banks have also to name contacts for compliance and AML.
- Exemption statement from withholding tax (only for domestic „non-banks“)

Information about Austrian Act on Deposit Guarantee Schemes and Investor Compensation (ESAEG – in German only) <https://www.oekb.at/dam/jcr:49dfe87c-9f19-4308-8df9-aab3200885e8/OeKB-Information-Einlagensicherung.pdf> only for „non-banks“)

OeKB reserves the right to request further documents.

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**Place, Date**

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**Corporate Signature**