

Name und Anschrift der bisherigen konto-/depotführenden Bank

Note: If the securities account transfer includes items from a loan or a repurchase agreement, form 38.010 must be used for these items.

Request to Transfer Account/Securities from another bank to Baader Bank AG

Retail clients

The original must be sent to the (previous) Bank.

1. Personal data of the principal

Client reference number: _____

Deposit-/Accountnumber: _____

First deposit/account holder

Ms Mr Title: _____

Forename: _____

Surname: _____

Tax ID number¹: _____

Street/no.: _____

Additional address: _____

Postcode: _____ Place: _____

Country: _____

Second deposit/account holder

Ms Mr Title: _____

Forename: _____

Surname: _____

Tax ID number¹: _____

Street/no.: _____

Additional address: _____

Postcode: _____ Place: _____

Country: _____

2. Personal data of the recipient

IBAN: _____

Depositnumber: _____

First deposit/account holder

Ms Mr Title: _____

Forename: _____

Surname: _____

Date of birth: _____

Tax ID number¹: _____

Street/no.: _____

Additional address: _____

Postcode: _____ Place: _____

Country: _____

Relationship to the principal

Spouse

Inheritor

Third party with kinship: _____

Other third party: _____

Second deposit/account holder

Ms Mr Title: _____

Forename: _____

Surname: _____

Date of birth: _____

Tax ID number¹: _____

Street/no.: _____

Additional address: _____

Postcode: _____ Place: _____

Country: _____

Relationship to the principal

Spouse

Inheritor

Third party with kinship: _____

Other third party: _____

¹ Must be provided for any transfer without offsetting payment to the account of a spouse or third party. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

3. Information on deposit transfer

- Transfer of all account holdings and account balances²
- Transfer of following securities²:

Name of security	WKN or ISIN	Quantity/nominal value

Please note: Transfers of securities held in custody (including registered shares) from outside Germany may incur additional third-party expenses. The Bank will continue to apply any securities restrictions (such as company-imposed lock-up periods or incentive waiting periods) which accompany the transfer.

Please note that the transfer of units is often only possible as whole shares. If this is the case, any fractional shares held will be sold prior to account transfer and the cash proceeds transferred to your bank account.

Transfer to your own securities deposit account

Transfers to your own securities deposit accounts are not deemed to be a change of creditor according to tax law and are therefore of no significance for tax purposes. Acquisition data is only transferred within Germany.

Transfer to the securities deposit account of a spouse/life partner

Transfers between spouses/registered life partners from an individual securities deposit account to a joint securities deposit account or vice versa, or from an individual securities deposit account of one spouse/registered partner to the other's, are transfers which are free of charge and are reported to the tax office. This applies to securities acquired from 01/01/2009 onwards. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

Transfer to the securities deposit account of a third party as a gift

Transfers to third-party securities deposit accounts as a gift are deemed to be transfers with a change of creditor. If holdings acquired from 01/01/2009 onwards are transferred as a gift (i.e. free of charge), this is reported to the tax office. If there is no German tax ID, then the transfer cannot be treated as a free of charge transfer.

Transfer due to inheritance

Transfers to third-party securities deposit accounts are deemed to be transfers with a change of ownership. There is no reporting obligation for transfers due to inheritance. However, irrespective of the securities deposit account transfer, if the exemption limit of EUR 5000 is exceeded, this is reported in accordance with Section 33 of the German Inheritance Tax Act(Erbstehungsteuergesetz).

Other transfer to the securities deposit account of a third party (subject to a fee)

For holdings acquired from 01/01/2009 onwards, a sale is assumed under the German Income Tax Act (Einkommensteuergesetz). A fictitious sale is then calculated, whereby capital gains tax, solidarity surcharge and, if applicable, church tax, are due and paid to the tax office. For holdings acquired by the transferor prior to 01/01/2009, according to tax law the securities are deemed to have been newly acquired by the recipient on the date of derecognition.

If the type of transfer is not specified the Bank will always assume a transfer against payment.

4. Transfer of loss compensation accounts³

- Accrued losses on equities (Aktienverlusttopf)
- General account for offsetting losses against gains (allgemeiner Verlustverrechnungstopf)
- Withholding tax account (Quellensteuerpotf)

5. Additional information

- Transfer of remaining credit balance
- Closure of the account mentioned under 1.
- Closure of depot mentioned under 1.

6. Signature

Place, date: _____

x

Signature of first deposit/account holder

Place, date: _____

x

If applicable, signature of second deposit/account holder

² If you are the previous custodian bank, please see point 7.

³ Only possible for the total transfer to own securities/account without a change of ownership

7. Notes to the Sending Bank

7.1 Notification

Please notify the receiving bank of all transfers via email at transfers@baaderbank.de or by fax at +49 (0) 89 5150 2444

7.2 Method of settlement

Please deliver the securities by way of our account at Caceis Bank S.A., Germany Branch.

Securities in German collective custody (Girosammelverwahrung): Clearstream Banking Frankfurt 2013, for benefit of Baader Bank Aktiengesellschaft 68007585

For non-German securities, please contact the receiving bank to agree settlement instructions.

7.3 Acquisition information

Please transmit the acquisition data via Taxbox at Clearstream Banking Frankfurt to 7331 (in Germany this is done automatically). Baader Bank AG does not accept acquisition data from abroad.