

Name und Anschrift der bisherigen konto-/depotführenden Bank

Note: If the securities account transfer includes items from a loan or a repurchase agreement, form 38.011 must be used for these items.

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

Business clients

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

1. Personal data of the principal

IBAN: _____
 Depositnumber: _____
 Company name 1: _____
 Company name 2: _____
 Tax ID number¹: _____

Company head office
 Street/no.: _____
 Additional address: _____
 Postcode: _____ Place: _____
 Country: _____

2. Personal data of the recipient

IBAN: _____
 Depositnumber: _____
 Company name 1: _____
 Company name 2: _____
 Tax ID number¹: _____

Company head office
 Street/no.: _____
 Additional address: _____
 Postcode: _____ Place: _____
 Country: _____

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 fund units is frequently 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.

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.

¹ Must be provided for any transfer without offsetting payment to the account of a third party.
² If you are the previous custodian bank, please see point 8.

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 (Erbschaftsteuergesetz).

 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.

4. Additional information

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

5. Signature

Place, date: _____

Place, date: _____

x_____
Legal Name/signature/company stamp**x**_____
Legal Name/signature/company stamp**6. Notes to the Sending Bank****6.1 Notification**

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

6.2 Method of settlement

Please deliver the securities by way of our account at Caceis Bank Deutschland GmbH.

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.

6.3 Acquisition information

Please also provide details regarding the acquisition of securities (provided automatically within Germany).