

Please note: The English translation is a work document. Solely the German version is legally binding.

Identification acc. to Section 6 of the Financial Markets Anti-Money Laundering Act (“Finanzmarkt- Geldwäschegesetz” - FM-GwG) – Part I

Information on applicant

Name Company			
Business establishment name			
Commercial Register no.		UID no.	
Legal form			
Registered office	Street Number		
	Postal code	Town	Country
Postal address <i>(if different from registered office)</i>	Street Number		
	Postal code	Town	Country
Contact person			
Email <i>(Email address for sensitive banking correspondence)</i>			
Phone:			

This form has to be sent to ÖHT by mail, **unchanged** in terms of form and content and **in the original**.

By my (our) signature, I/we confirm the accuracy of the information provided.	
	X
_____ <i>Place, date</i>	_____ <i>(Corporate) Signature of the applicant</i>

Identification acc. to Section 6 of the Financial Markets Anti-Money Laundering Act (FM-GwG) – Part II

Authorised representative(s)

Please indicate those persons that are permitted to represent your enterprise in dealing with third parties and/or that are authorised to sign on behalf of the enterprise. The identity of the persons as well as the authenticity of the specimen signatures have to be **confirmed** by your **principal bank**. **Please indicate ALL authorised representatives!**

Authorised representative 1

<input type="checkbox"/> Mrs	<input type="checkbox"/> Mister	First name and surname	Title
Place of residence		Street Number	
Postal code		Town	Country
Date of birth (DD.MM.YYYY)		Name at birth	
Country of birth		Nationality	

**I confirm acting for my own account acc. to Section 6 para. 3 of the
Financial Markets Anti-Money Laundering Act (FM-GwG).¹**
Do you have a personal connection to the U.S.A.?² (For explanations, see next page,

**Please tick as
appropriate**

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

- Authorised to sign independently
 Not authorised to sign independently

Signature
(personal!) X

Authorised representative 2 (to be completed only if applicable)

<input type="checkbox"/> Mrs	<input type="checkbox"/> Mister	First name and surname	Title
Place of residence		Street Number	
Postal code		Town	Country
Date of birth (DD.MM.YYYY)		Name at birth	
Country of birth		Nationality	

**I confirm acting for my own account acc. to Section 6 para. 3 of the
Financial Markets Anti-Money Laundering Act (FM-GwG).¹**
Do you have a personal connection to the U.S.A.?² (For explanations, see next page)

**Please tick as
appropriate**

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

- Authorised to sign independently
 Not authorised to sign independently

Signature
(personal!) X

Authorised representative 3 (to be completed only if applicable)

<input type="checkbox"/> Mrs	<input type="checkbox"/> Mister	First name and surname	Title
Place of residence		Street Number	
Postal code		Town	Country
Date of birth (DD.MM.YYYY)		Name at birth	
Country of birth		Nationality	

**I confirm acting for my own account acc. to Section 6 para. 3 of the
Financial Markets Anti-Money Laundering Act (FM-GwG).¹**
Do you have a personal connection to the U.S.A.?² (For explanations, see next page)

**Please tick as
appropriate**

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

- Authorised to sign independently
 Not authorised to sign independently

Signature
(personal!) X

Explanatory notes

¹ Section 6 para. 3 of the Financial Markets Anti-Money Laundering Act (FM-GwG) provides (extract) that the customer has to inform the credit institution whether he/she acts on his/her own account or on behalf of another person and has to notify any changes in this respect that may occur in the course of the business relations on his/her own initiative without delay. In the case of a trust structure, the identity of the trustor has to be notified and evidenced.

² Connections to the U.S. include: Nationality of the U.S.A., place of birth in the U.S.A., possessing a Green Card of the U.S.A., contact data in the U.S.A. (e.g. place of residence, mailing address, US-American phone number) or tax registration, as well as the relationship with a person having a connection to the U.S. who acts for you as legal representative, financial advisor or authorised signatory.

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TO BE COMPLETED BY THE PRINCIPAL BANK:

Important - the form is valid only with passage completed by the principal bank!

We herewith confirm the identity of the above-mentioned person(s) that we identified by means of a valid official photo identification document. The person(s) to be identified made the signature(s) in our presence, or the specimen signatures have been checked by us and found to be true.

Authorised representative 1 legitimised by identity document/type:

Driving license Passport ID Card Identity card
 Other: _____ No.: _____
 issued by: _____ on: _____

Authorised representative 2 legitimised by identity document/type:

Driving license Passport ID Card Identity card
 Other: _____ No.: _____
 issued by: _____ on: _____

Authorised representative 3 legitimised by identity document/type:

Driving license Passport ID Card Identity card
 Other: _____ No.: _____
 issued by: _____ on: _____

Place, date

Stamp and two signatures of the confirming
credit institution

**Please add copy/copies of the
identity document(s)!**

Identification acc. to Section 6 of the Financial Markets Anti-Money Laundering Act (FM-GwG) – Part III

Beneficial owner(s) of companies

The disclosure of the beneficial owner(s) concerns the following enterprise (customer of ÖHT):

Company Name			
Commercial Register no:			
Registered office	Street Number		
	Country		
	Postal code	Town	

According to Section 2 pt. 1. a) of the Beneficial Owners Register Act (WiEReG) “**beneficial owners**” of companies include:

- **DIRECT** beneficial owner: Any natural person(s) holding a shareholding of more than 25 % or a participating interest of more than 25% in the customer. In the case of direct beneficial owners, there are no intermediate legal entities.
- **INDIRECT** beneficial owner: Any natural person(s) directly or indirectly exercising control over a legal entity holding a shareholding of more than 25 % or a participating interest of more than 25 % in the customer. Control over a legal entity holding an interest of more than 25 % in the customer is exercised in the case of a shareholding/a participating interest of more than 50 %.

Please list **ALL DIRECT and INDIRECT** beneficial owners!

Beneficial owner 1

<input type="checkbox"/> Mrs	<input type="checkbox"/> Mister	First name and surname	Title
Place of residence		Street Number	
		Postal code	Town
Date of birth (DD.MM.YYYY)			Name at birth
Country of birth			Nationality

- Direct beneficial ownership, participation in %:
- Indirect beneficial ownership, control over
(legal entity holding a total participating interest of more than 25 % in the customer)

This owner acts on his/her own account acc. to Section 6 para. 3 FM-GwG.¹

Does this owner have any personal connection to the U.S.A.?²

Please tick as appropriate

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

Beneficial owner 2 (to be completed only if appropriate)

<input type="checkbox"/> Mrs	<input type="checkbox"/> Mister	First name and surname	Title
Place of residence		Street Number	
		Postal code	Town
Date of birth (DD.MM.YYYY)			Name at birth
Country of birth			Nationality

- Direct beneficial ownership, participation in %:
- Indirect beneficial ownership, control over
(legal entity holding a total participating interest of more than 25 % in the customer)

This owner acts on his/her own account acc. to Section 6 para. 3 FM-GwG.¹

Does this owner have a personal connection to the U.S.A.?²

Please tick as appropriate

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

Beneficial owner 3 *(to be completed only if appropriate)*

Mrs Mister First name and surname Title
 Place of residence Street | Number
 Postal code Town Country
 Date of birth (DD.MM.YYYY) Name at birth
 Country of birth Nationality
 Direct beneficial ownership, participation in %:
 Indirect beneficial ownership, control over
(legal entity holding a total participating interest of more than 25 % in the customer)

This owner acts on his/her own account acc. to Section 6 para. 3 FM-GwG.¹

Please tick as appropriate

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

Does this owner have a personal connection to the U.S.A.?²

Beneficial owner 4 *(to be completed only if appropriate)*

Mrs Mister First name and surname Title
 Place of residence Street | Number
 Postal code Town Country
 Date of birth (DD.MM.YYYY) Name at birth
 Country of birth Nationality
 Direct beneficial ownership, participation in %:
 Indirect beneficial ownership, control over
(legal entity holding a total participating interest of more than 25 % in the customer)

This owner acts on his/her own account acc. to Section 6 para. 3 FM-GwG.¹

Please tick as appropriate

<input type="checkbox"/> yes	<input type="checkbox"/> no
<input type="checkbox"/> yes	<input type="checkbox"/> no

Does this owner have a personal connection to the U.S.A.?²

- There is no direct or indirect ownership acc. to Section 2 pt.1 a) of the Beneficial Owners Register Act (WiEReG).
(to be completed only if appropriate)
In this case the members of the top management level of the customer are considered to be beneficial owners (see Section 2 pt. 1 b.)

Explanatory notes

- ¹ Section 6 para. 3 of the Financial Markets Anti-Money Laundering Act (FM-GwG) provides (extract) that the customer has to inform the credit institution whether he/she acts on his own account or on behalf of another person and has to notify any changes in this respect that may occur in the course of the business relations on his/her own initiative without delay. In the case of a trust structure, the identity of the trustor has to be notified and evidenced.
- ² Connections to the U.S. include: Nationality of the U.S.A., place of birth in the U.S.A., possessing a Green Card of the U.S.A., contact data in the U.S.A. (e.g. place of residence, mailing address, US-American phone number) or tax registration, as well as the relationship with a person having a connection to the U.S. who acts for you as legal representative, financial advisor or authorised signatory.

Section 2 pt. 1 of the Beneficial Owners Register Act (WiEReG) – Definition of the beneficial owner

Beneficial owners as specified in Section 2 of the Beneficial Owners Register Act ("Wirtschaftlicher Eigentümer Register Gesetz" - WiEReG) means any natural person(s) who ultimately own(s) or control(s) a legal entity. This includes at least the following:

1. In the case of companies:
 - a. All natural persons that either directly or indirectly hold a sufficient percentage of the shares or voting rights (including those held in the form of bearer shares, who hold a sufficient participating interest in the company (including in the form of cooperative shares or a capital share), or who exercise control over the company:

- i. **Direct beneficial owner:** Where a natural person holds a shareholding of 25 % plus 1 share or a participating interest of more than 25 % in the company this is considered direct beneficial ownership.
- ii. **Indirect beneficial owner:** Where a legal entity holds a shareholding of 25 % plus one share or a participating interest of more than 25 % in the company and a natural person exercises direct or indirect control over this legal entity, this is considered indirect beneficial ownership.

If several legal entities that are directly or indirectly controlled by the same natural person(s) hold a total shareholding of 25 percent plus one share or a participating interest of more than 25 percent of the company, then this/these natural person(s) shall be considered beneficial owner(s).

Any shareholding directly held by one or more of the aforementioned natural persons or directly held participating interest shall be added respectively.

Ultimate legal entities are those legal entities in a chain of participations that are controlled directly by indirect beneficial owners as well as those legal entities in which indirect beneficial owners directly hold shares or a participating interest, if these - considered together with the above-mentioned legal entity/entities - constitute the beneficial ownership. If the beneficial owner performs a function pursuant to no. 2 (trusts) or no. 3 (foundations), then the respective legal entity shall always be considered the ultimate legal entity.

The term "legal entity" as used in this point also covers comparable legal entities as defined in Section 1 with headquarters in another Member State or in a third country.

Control shall be deemed to exist in the case of a shareholding of 50% plus one share or a participating interest of more than 50%, held either directly or indirectly. Furthermore, control shall also be deemed to exist when the criteria pursuant to Section 244 para. 2 of the Business Enterprise Code ("Unternehmensgesetzbuch" - UGB) are met, or where a function is exercised pursuant to no. 2 or no. 3 at an ultimate legal entity. Moreover, a trustor or a comparable person exercises control by means of a trustee relationship or a comparable legal relationship by:

- b. the natural persons that belong to the top management level of the company, once all possible means have been exhausted and where no grounds for suspicion exist that no person listed in lit. a can be identified. For the companies listed below, the following applies:
 - i. in the case of general partnerships and limited commercial partnerships with their partners consisting exclusively of natural persons, the managing partners shall be considered as beneficial owners, provided that no grounds exist that indicate that the company is either directly or indirectly under the control of one or several other natural persons.
 - ii. in the case of commercial and industrial cooperatives in which no member holds a business share of more than 25 % and provided that no grounds exist that indicate that the commercial and industrial cooperative is directly or indirectly under the control of one or several other natural persons, the members of the top level of management (management board) shall be considered to be beneficial owners.
 - iii. in the case of companies without owners, the natural persons who belong to the top management level shall be considered as beneficial owners, provided that no grounds exist that indicate that the company is either directly or indirectly under the control of one or several other natural persons.

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I (We) herewith undertake to inform Österreichische Hotel- und Tourismusbank Gesellschaft m.b.H. about any deviations / changes with respect to the control over the enterprise and with respect to the beneficial owner(s) that may occur in the course of the business relations on my (our) own initiative in writing without delay, furnishing appropriate documentary evidence.

X

Place, date

(Corporate) Signature of the applicant

Identification acc. to Section 6 of the Financial Markets Anti-Money Laundering Act (FM-GwG)

Checklist for all documents to be attached to this form

For the sake of completeness and to ensure traceability of the ownership and control structure of the enterprise as specified in the Financial Markets Anti-Money Laundering Act ("Finanzmarkt-Geldwäschegesetz" - FM-GwG) the following documents have to be attached to this declaration:

For authorised representatives:

- Copies of the identity documents of the authorised representatives

For beneficial owners:

- Copies of the identity documents of the beneficial owners

If legal entities (companies, associations, foundations etc.) hold a participating interest of more than 25 % in the enterprise applying for support:

- Presentation of the ownership chain in the form of an organigramme
- Excerpts from the Commercial Register - not older than 6 weeks (for each non-Austrian legal entity holding a participating interest in the enterprise)

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