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| **COUNTRY: GERMANY** |

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| **PRE-CONDITION FOR RELYING ON PREPARATORY ADMINISTRATIVE ACTIVITIES**  Any activity below subject to “YES” shall only be conducted:  1) if the condition(s) for the marketing of the relevant service(s) is (are) met **OR**  2) when the activity is necessary to update the documents and information relating to existing clients | | | | | | |
| **PROSPECTS** | | | | | | |
| **GROUP** | **ACTIVITY** | **SUBACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Preparatory administrative activities** | **Provide forms and contractual documents** | **Account opening contracts including related forms** | Retail | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| Professionals | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| **Advisory and discretionary mandates including related forms** | Retail | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| Professionals | Pro-actively | NO | NO |
| Upon RS | * YES with a fiduciary company and subject to annex 1 * NO without a fiduciary company (exceptional cases to be assessed) | NO |
| **Loan agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Credit card agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Other contracts and forms (securities lending, wealth management services and other types of contract)** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| * **Explain account opening process and provide assistance for completion of documents and account opening settings** * **Obtain KYC information, including subsequent updates** * **Receive forms and contractual documents** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 1-3, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 4, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |

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| **PRE-CONDITION FOR RELYING ON PREPARATORY ADMINISTRATIVE ACTIVITIES**  Any activity below subject to “YES” shall only be conducted:  1) if the condition(s) for the marketing of the relevant service(s) is (are) met **OR**  2) when the activity is necessary to update the documents and information relating to existing clients | | | | | | |
| **EXISTING CLIENTS** | | | | | | |
| **GROUP** | **ACTIVITY** | **SUBACTIVITY** | **CLIENT TYPE** | **INTERACTION MODE** | **OFFSHORE SCENARIO** | **ONSHORE SCENARIO** |
| **Preparatory administrative activities** | **Provide forms and contractual documents** | **Account opening contracts including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Advisory and discretionary mandates including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Loan agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Credit card agreements including related forms** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Other contracts and forms (securities lending, wealth management services and other types of contract)** | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| * **Explain account opening process and provide assistance for completion of documents and account opening settings** * **Obtain KYC information, including subsequent updates** * **Receive forms and contractual documents** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 1-3, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| **Onboarding formality 4, including subsequent updates** | | Retail | Pro-actively | YES | NO |
| Upon RS | YES | NO |
| Professionals | Pro-actively | YES | NO |
| Upon RS | YES | NO |