

Proof of reliability of the exchange trader pursuant to § 3 Admission Regulations for Exchange Traders

I hereby confirm that

- there are no pending criminal proceedings against me due to an offence of property or a tax offence or due to an infringement of Regulation (EU) No. 596/2014 (MAR), Regulation (EU) No. 236/2012 (Short Selling Regulation), the German Banking Act, the German Securities Trading Act, the German Investment Firm Act, the German Stock Exchange Act, the German Securities Deposit Act, the German Money Laundering Act or the German Capital Investment Code, and no disciplinary or fine proceeding has been instituted against me or is subject to judicial proceedings,
- I have not effectively been convicted on such an offence and no effective fine or disciplinary proceeding decision has been submitted and no proceeding pursuant to Sections 153 and 153a of the German Code of Criminal Procedure has been terminated,
- neither I nor a company managed by me are debtors in insolvency proceedings and have not been listed in an insolvency register or in the list of debtors pursuant to § 882b of the German Code of Civil Procedure and an information from the debtor on his assets pursuant to § 802c of the German Code of Civil Procedure has not been provided and an obligation to provide such information does not exist,
- no regulatory offence proceedings or comparable proceedings have been pending or are instituted against me in connection with a business or other professional activity and no legally binding regulatory fining or other disciplinary proceeding decision has been issued against me,
- no proceedings for a reliability or aptitude test by a supervisory authority or other official proceedings for the imposition of measures have been initiated or carried out against me,
- no conflicts of interest exist which prevent the proper execution of my Exchange Trader activity, and
- no legal act within the meaning of Section 30 German Stock Exchange Act has been issued against me or against a legal person or a partnership for which I act as a manager, a member of a supervisory board or in a comparable position or if I represent the interests of this person or partnership as a member of a supervisory or administrative board or a comparable supervisory body in a company.



Note:

In the above mentioned proceedings, comparable facts which apply to other legal systems must also be indicated.

The following proceedings do not need to be indicated:

- criminal proceedings, which were suspended due to a lack of sufficient evidence or due to an impediment to proceedings or which resulted in an acquittal or proceedings in which an entry made in the German Federal Central Register is to be deleted or redeemed or proceedings which do not need to be specified pursuant to Section 53 German Act on the Central Criminal Register and the Educative Measures Register, and,
- proceedings, which were terminated with a fine, sanction or any other decision five years before the beginning of the year in which the application for admission was submitted or proceedings, which pursuant to Section 153 German Industrial Code need to be redeemed,
- This applies accordingly to other legal systems.

You are obliged to notify the Management Board immediately as soon as changes or facts occur that could lead to the withdrawal of the admission.

Proof of reliability of the managing director pursuant to § 25 paragraph 2 Exchange Rules

I hereby confirm that

- there are no pending criminal proceedings against me due to an offence of property or a tax offence or due to an infringement of Regulation (EU) No. 596/2014 (MAR), Regulation (EU) No. 236/2012 (Short Selling Regulation), the German Banking Act, the German Securities Trading Act, the German Investment Firm Act, the German Stock Exchange Act, the German Securities Deposit Act, the German Money Laundering Act or the German Capital Investment Code, and no disciplinary or fine proceeding has been instituted against me or is subject to judicial proceedings,
- I have not effectively been convicted on such an offence and no effective fine or disciplinary proceeding decision has been submitted and no proceeding pursuant to Sections 153 and 153a of the German Code of Criminal Procedure has been terminated,
- neither I nor a company managed by me are debtors in insolvency proceedings and have not been listed in an insolvency register or in the list of debtors pursuant to § 882b of the German Code of Civil Procedure and an information from the debtor on his assets pursuant to § 802c of the German Code of Civil Procedure has not been provided and an obligation to provide such information does not exist,
- no regulatory offence proceedings or comparable proceedings have been pending or are instituted against me in connection with a business or other professional activity and no legally binding regulatory fining or other disciplinary proceeding decision has been issued against me,
- no proceedings for a reliability or aptitude test by a supervisory authority or other official proceedings for the imposition of measures have been initiated or carried out against me,
- no conflicts of interest exist which prevent the proper execution of my management function, and
- no legal act within the meaning of Section 30 German Stock Exchange Act has been issued against me or against a legal person or a partnership for which I act as a manager, a member of a supervisory board or in a comparable position or if I represent the interests of this person or partnership as a member of a supervisory or administrative board or a comparable supervisory body in a company.

Note:

In the above mentioned proceedings, comparable facts which apply to other legal systems must also be indicated.

The following proceedings do not need to be indicated:

- criminal proceedings, which were suspended due to a lack of sufficient evidence or due to an impediment to proceedings or which resulted in an acquittal or proceedings in which an entry made in the German Federal Central Register is to be deleted or redeemed or proceedings which do not need to be specified pursuant to Section 53 German Act on the Central Criminal Register and the Educative Measures Register, and,
- proceedings, which were terminated with a fine, sanction or any other decision five years before the beginning of the year in which the application for admission was submitted or proceedings, which pursuant to Section 153 German Industrial Code need to be redeemed,
- This applies accordingly to other legal systems.

You are obliged to notify the Management Board immediately as soon as changes or facts occur that could lead to the withdrawal of the admission. For companies, this duty also applies if they become aware of changes that could lead to the withdrawal of the admission of an exchange trader admitted to trading acting on their behalf.