

Euronext Cash Markets Euronext Derivatives Markets

MEMBERSHIP APPLICATION FORM

PLEASE NOTE

By executing this admission request, the Applicant acknowledges and agrees that the signed and digital version of the request including the Declaration of Applicant and its supporting documents (Appendix A) as sent to <u>EuronextMembership@euronext.com</u>, along with the Euronext confirmation of admission letter issued, scanned and sent by Euronext, shall constitute evidence of the conclusion and acceptance of the terms of a legally binding membership agreement between the parties.

EURONEXT APPLICATION FORM

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1. INTRODUCTION

This standard application form is submitted by the companies who want to become Members of the Euronext Derivatives and/or Cash Markets.

Please note that existing Euronext Members who fall within the category of Non-MiFID Firms and currently hold Membership in either the Derivatives *or* Cash market, and would like to extend their activities to the other market (expanding to Cash *or* Derivatives as applicable) also need to fill out this form.

Please complete this form and return it together with supporting documentation (as requested in the appendices) digitally and duly signed to the Euronext Membership Department at the following e-mail address:

Euronext Membership Department

email: <u>EuronextMembership@euronext.com</u> tel. +31 20 721 4264

All applicants should ensure that, where relevant, they have the appropriate regulatory authorisation(s) to conduct business on the Euronext Market(s) in question. Please note that there are restrictions on the jurisdictions from which Members may operate.

Applicants should be aware that the Competent Authority of the Market(s) to which they are applying may contact their home state regulator for additional information. Host state regulators may also request further information from the Applicant directly and may impose fees.

For further information, please consult our website or contact the Membership Department.

2. DETAILS OF APPLICANT

Applicant's statutory name and legal form
Commercial name (if different)
V.A.T. (tax) registration number
LEI or CICI code
Registered address
Business address (if different)
Switchboard telephone no.
Website address
Generic company email address
Contact name (for processing application)
Job title/position
Telephone no. (including extension)
Email address

3. **REGULATION**

Please provide details of the Applicant's regulatory status (please tick \checkmark)

A. LOCATED IN EUROPE - EEA¹

Credit Institution	
--------------------	--

Non regulated

Investment	Firm
investment	

Other, please specify

Applicants benefiting from passporting rights should contact their home state regulator to ensure the relevant cross border passports are in place. Please provide us with a copy of this confirmation.

Please confirm the name of the Applicant's regulator and where it is subject to more than one regulatory body, please indicate which is the lead regulator.

Name of home state regulator(s)

B. LOCATED OUTSIDE OF EUROPE - non-EEA

Re	gul	at	ed
	20.		~~

Non regulated

Please confirm the name of the Applicant's regulator and where it is subject to more than one regulatory body, please indicate which is the lead regulator.

Name of home state regulator(s)

C. ALL APPLICANTS – EEA and non-EEA

Under MiFID, EEA Credit Institutions and Investment Firms performing the requested trading activities are required to upgrade, if necessary, their licence for trading activities granted by their relevant regulatory authority. They should also ensure the exercise of their passporting rights has been notified to the hosting regulatory authorities.

All non-EEA Applicants and non-regulated EEA Applicants must:

- Provide evidence that they hold an appropriate licence or authorisation with each of the hosting competent authorities; or
- Provide written evidence or explanation of why such authorisation is not required.
- Complete the Non-MiFID Suitability Assessment Form (on demand, if applicable)

Firms should be aware that the Competent Authority of the Market to which you are applying may contact your home state regulator to provide confirmation of the following:

(i) jurisdiction over the market activities of the Applicant;

(ii) non-opposition to the application; and,

(iii) readiness to share information with Euronext regulators and offer co-operation.

Host state regulators may request additional information from the Applicant.

Host state regulators may impose fees.

¹ European Economic Area (EU plus Iceland, Norway and Liechtenstein).

4. TRADING ACTIVITY

Please indicate the type of trading activity² you intend to perform on the Euronext Markets:

Derivatives Markets

Proposed activity(ies) ²	Amsterdam	Brussels	Lisbon	Paris
Dealing on own account (Dealer)				
Execution of orders on behalf of clients (Broker)				
Market making * (specific contract to be signed separately)				

Cash Markets

Proposed activity(ies)	Amsterdam	Brussels	Dublin	Lisbon	London	Paris
Dealing for own account (Dealer)						
Execution of orders on behalf of clients (Broker)						
Market making (specific contract to be signed separately)						
Acting as Fund Agent ³						

Applicant's BIC Code (11 digits)	

² The proposed activity(ies) and authorisations of the Applicant will determine the Membership capacity to be designated.

³ Using the NAV Trading Facility, specific documentation to be signed in addition to this Membership Application Form.

5. APPLICANT'S PROFILE

Is the Applicant currently a member of any other futures and/or options, cash, or commodities exchange (other than a Euronext Market)? If so, please provide details:

Member since (date)	Name of entity holding membership	Exchange	Membership capacity held

6. DISCIPLINARY HISTORY AND RELATED MATTERS

This question relates to the activities of not only the Applicant (including relevant persons) itself, but also of other entities within the group, pertinent to its operation on the Euronext Markets. The response should include events which the Applicant considers material and which occurred in the last 5 years. If an Applicant is uncertain about the materiality of a specific disciplinary proceeding or event, the matter should be disclosed.

Has the Applicant or any other relevant parties within the group been:

- (i) found guilty in a criminal court
- (ii) the subject of an adverse finding in a civil or administrative court or tribunal
- (iii) in contravention of any provision of financial services legislation, rules, regulations or statements of principle
- (iv) the subject of disciplinary procedures by any government agency, self-regulating organisation or exchange
- (v) subject to a refusal or restriction to carry on a trade/business/profession or to disqualification from acting as a director
- (vi) under special investigation, or is it currently under special investigation, by any auditor, government agency, self-regulating organisation, exchange, taxation or other authority?

Yes

No

If so, please provide relevant information to be assessed by our Compliance Department.

7. BUSINESS PER MARKET

Please indicate which Euronext Derivatives market(s) are being applied for and for those Markets indicate the name of the chosen General Clearing Member.

*Please note that before any extension is confirmed:

a. Euronext will check the passporting of your licence on the expected market, when necessary; and
b. When the Applicant is not located in Europe (EEA), this list of requested subscriptions must be confirmed by Euronext by reference to applicable regulations, which set different restrictions depending on the situation.

Subscriptions desir	<mark>/ATIVES</mark> Markets ¹ red (please tick ✓) am (AMS) Paris (PAR) Brussels (BRU) Lisl	oon (LIS	5)			General Clearing Member
Commodities	Commodity Futures (Euro)	□ AMS	D PAR			
	Commodity Options (Euro)	□ AMS	D PAR			
Equity Index	Index Futures (Euro)	□ AMS	PAR BRU LIS			
	Index Options (Euro)	□ AMS	D PAR	BRU		
Equity Options (incl. Spotlight	Individual Equity Options (Euro)	□ AMS	D PAR	D BRU		
Options)	Individual Equity Options (USD)	□ AMS	•	•		
SSF & SSDF	Single Stock Futures (Euro) & Single Stock Dividend Futures (Euro)	□ AMS	D PAR	D BRU		
	In addition, on Amsterdam market only ² :		•	-		-
	Single Stock Futures in CHF DK	K 🗌 GBF	P □SEK			
	Single Stock Dividend Futures in CHF GBP USD ¹ SEK					
¹ Please note that the Applicant has to contact its clearing partners at all times to ensure the appropriate post-trade set-up. ² For some trading subscriptions additional requirements are demanded by LCH SA to the ICM/GCM.						

Euronext <u>CASH</u> Markets ¹ - Market desired (please tick ✓)		
Markets cleared by	LCH SA	
Amsterdam	Euro D Non Euro and International ETFs ³	
Brussels	 Euro Non Euro and International ETFs³ Belgian Government Bonds⁴ 	
Lisbon	□ Euro □ Non Euro ⁵	
Paris	Euro Non Euro and International ETFs ³	

Warket cleared b	y EuroCCP	General
		Clearing
		Member ²
Dublin	Settlement in Crest (Euro, GBP, USD)	
London ⁷	Settlement in Crest (Euro, GBP, USD)	
ETF Access (cleare	ed by EuroCCP)	General Clearing Member ²
International	Settlement in Euroclear Bank (All 15 Currencies) ⁶	
Austria	Settlement in 🗌 OeKB <i>(Euro)</i>	
Belgium	Settlement in 🗌 Euroclear Belgium <i>(Euro)</i>	
Denmark	Settlement in VP Securities A/S (DKK)	
Finland	Settlement in Euroclear Finland (Euro)	
France	Settlement in Euroclear France (Euro, GBP, USD)	
Germany	Settlement in Clearstream (Euro, GBP, USD, SEK, CNY)	
Ireland/UK	Settlement in Crest (Euro, GBP, USD)	
Italy	Settlement in 🗌 Monte Titoli <i>(Euro)</i>	
Netherlands	Settlement in Euroclear Nederland (Euro)	
Norway	Settlement in VP Securities ASA (NOK)	
Poland	Settlement in 🗌 KDPW (Euro)	
Portugal	Settlement in 🗌 Interbolsa (Euro)	
Spain	Settlement in 🗌 Iberclear (<i>Euro</i>)	
Sweden	Settlement in Euroclear Sweden (SEK)	
Switzerland	Settlement in SIX SIS (Euro, GBP, USD, JPY, CHF, AUS, CAD, SGD)	
Market Without	CCP Clearing	Settlement Agent
Paris	EFS (Euronext Fund Service) with settlement in Euroclear France	

Clearing Members are approved by the CCP's involved to clear the relevant Markets.

³ Settlement requires an Euroclear Bank account.

⁴ Settlement requires an Belgium National Bank account.

⁵ Settlement requires an Interbolsa account.

⁶ EUR, GBP, USD, JPY, CHF, BGN, RUB, CNY, SEK, PLN, HKD, NOK, AUD, CAD, SGD

7 Including access to Euronext Block (see Appendix D to be completed)

8. DECLARATION OF APPLICANT

This Declaration and application for Membership is made by the Applicant to one or more Relevant Euronext Market Undertakings, as specified in this application form (the Applicant and the Relevant Euronext Market Undertaking being, collectively, "the Parties").

In consideration of (i) the Relevant Euronext Market Undertaking examining and processing this application and (ii) the Applicant co-operating with the Relevant Euronext Market Undertaking and furnishing it with all the necessary information in support of this application, the Parties hereby agree that this Declaration shall be legally binding upon the Parties.

Interpretation

The terms used in this Declaration shall have the meanings ascribed to them by the Euronext Rule Book. The masculine gender shall include the feminine and the singular number shall include the plural and vice versa.

Admission as a Member

We understand that our Membership of one or more Euronext Markets will not commence until (i) we have completed the application form to the satisfaction of the Relevant Euronext Market Undertaking and have provided such additional information as is, and entered into such agreements as are, required by the Relevant Euronext Market Undertaking(s); (ii) our application has been approved by the Relevant Euronext Market Undertaking(s); and (iii) the Relevant Euronext Market Undertaking(s) has notified us of its decision in writing. We understand that Membership or any trading or other privileges arising from such Membership may not be transferred, assigned or encumbered by or on behalf of the Member except with the prior written approval of Euronext where such transfer, assignment or encumbrance is expressly provided for in the Euronext Rule Book.

We agree to pay the fees and charges applicable to our Membership in accordance with the terms determined and published by Euronext.

We understand that in order to maintain our Euronext Membership we must organise and control our affairs in a responsible manner in accordance with the Euronext Rule Book, and to this end that we must have staff who are fit and proper with suitable authorisation/qualifications and experience in order to implement and maintain adequate internal procedures and controls.

The clauses of this Declaration shall apply only to the period up to the Applicant's admission as a Member, except for the clauses relating to Admission as a Member and Compliance with the Euronext Rule Book, which shall continue beyond that date.

Compliance with the Euronext Rule Book

If we are approved as a Member, we agree to comply with and be bound by the Euronext Rule Book from time to time in force, and any obligations imposed by Euronext pursuant to the Euronext Rule Book.

Confidentiality of Data

We understand that any information provided by or on behalf of us during the application for Membership shall be kept confidential by Euronext for an indefinite period (whether or not our application for Membership is successful) and shall not be disclosed to any third party without our prior written approval except where permitted by the Euronext Rule Book or required by applicable law or regulation.

By exception, the following data shall be published on the Euronext website : name of the company, legal or business address, company website, keyboard phone number, markets where you are authorised to trade, capacity, dedicated member ID, (see the List of the Trading Members <u>www.euronext.com</u>) to promote your company.

Data Protection Provisions

Notwithstanding the Confidentiality clause above, all applicants' attention is drawn to the Privacy Statement of Euronext, accessible at: https://www.euronext.com/privacy-policy. This outlines how and why your personal data may be processed by us when you, or a company with which you are connected, engage with us or avail of our services. If you are acting on behalf of a company engaging with or availing of the services of Euronext, you must ensure that our Privacy Statement has been brought to the attention of all persons whose personal data we may process in the course of our relationship with your company (e.g. agents, officers, employees and other personnel).

Settlement of Disputes

We agree that any dispute between us as the Applicant (or Member as the case may be) and the Relevant Euronext Market Undertaking in respect of membership issues or anything else under this Declaration and application for membership which is not resolved by an amicable settlement between the Parties shall be dealt with by the Courts applicable to the Relevant Euronext Market Undertaking (as specified in the Governing Law and Counterparty provision below). Notwithstanding the foregoing, the Parties may agree to refer such dispute to arbitration.

Limitation of Liability

We acknowledge that, without prejudice to any liability arising between the Parties under the Euronext Rule Book or any agreement entered into between the Parties pursuant to the Euronext Rule Book, the Relevant Euronext Market Undertaking shall be under no liability under this Declaration and application for Membership to the Applicant for any loss, damage or injury direct or indirect howsoever arising whether or not caused by the negligence of the Relevant Euronext Market Undertaking, its officers, employees, agents or representatives, save that the Relevant Euronext Market Undertaking shall accept liability for death, personal injury, fraud, and for gross negligence or wilful misconduct where there is a finding of such against the Relevant Euronext Market Undertaking by a court of competent jurisdiction.

Governing Law and Counterparty

Where an application for Membership is being made to a single Relevant Euronext Market Undertaking, the governing law and jurisdiction of this Declaration and application for Membership shall be that of the Relevant Euronext Market Undertaking, which shall also be the counterparty of this Declaration and application for Membership.

Where an application for Membership is being made to more than one Relevant Euronext Market Undertaking, the Applicant shall specify below one Relevant Euronext Market Undertaking for the purposes of determining the governing law and jurisdiction of this Declaration and application for Membership. The Relevant Euronext Market so specified shall also be the counterparty of this Declaration and application for Membership.

Governing Law, Jurisdiction & Counterparty (please tick ✓ one only):

Belgium	France	Ireland	Netherlands	Portugal	United Kingdom

If no jurisdiction is specified in the above table by the Applicant seeking membership of more than one Relevant Euronext Market Undertaking, this Agreement shall be governed by and construed under the laws of France, except if the Applicant is not hereby seeking Membership of Euronext Paris, in which case this Agreement shall be governed by and construed under the laws of the Netherlands. Likewise, if no jurisdiction is specified in the above table by the Applicant seeking membership of more than one Relevant Euronext Market Undertaking, jurisdiction over any matter or dispute arising from the present application form and Declaration shall be abiding to the same governing law attribution principles described above so that exclusive competence to hear any such disputes or matters shall be given respectively to the courts of France or the Netherlands, as relevant.

We certify that the statements in our application for membership and in this Declaration are true and complete, and we agree to comply with and be bound by the Rules of Euronext as may be amended from time to time.

WILFUL FALSIFICATION, MISREPRESENTATION, OR OMISSION OF ANY MATERIAL FACT REQUIRED TO BE STATED CONSTITUTES CAUSE FOR DENIAL, SUSPENSION, OR REVOCATION OF MEMBERSHIP

Applicant's/Member's Statutory Name	
Signature of authorized person (confirmed by the authorized signatory list)	
Print full name	
Job title	
Date	

APPENDIX A: SUPPORTING DOCUMENTS

The following supporting documents should be submitted together with this application form:

To be completed by <u>ALL</u> Applicants

If applicable, regulated firms are obliged to provide a copy of their license and settlement of the EU passports for the relevant countries.

Legal incorporation documentation e.g. Certificate of Incorporation (no older than three months) and Memorandum and Articles of Association, or equivalent document(s) depending on country of incorporation.

Group structure diagram showing the ownership of the Applicant and, where applicable, the whole group structure, including percentages of holdings and stakeholders' nationalities. The Ultimate Beneficiary Owners holding 20% or more of the Applicant, directly and indirectly (e.g. also cumulatively through different branches of the group structure). The provided diagram should be dated (no older than six months) and signed by at least one Authorised Signatory of the Applicant.

A letter of intent from your preferred clearing member

List of the Applicant's authorised signatories (persons acting on behalf of the company authorized to sign all documents relating to the Applicant's Euronext Membership). The list provided should be no older than 2 years. Please note that the function specification/role within the Applicant's firm for each Authorised Signatory is also required.

FOR DUBLIN MARKET: Copy of approval as a recognised Intermediary by the Irish Revenue Commissioners.

FOR NON-MIFID FIRMS, PLEASE ADD:

- i **Evidence of authorisation** indicating the permitted investment activities and financial instruments or proof of any exemption rule benefit.
- Curriculum vitae of the two individuals who effectively direct the business (e.g.
 Chief Executive Officer and Managing Director) and, if available, their certificates stating an absence of criminal record.
- iii **Suitability Assesment Form** which will be assessed by our Member Compliance team in light of KYC policy.

To be completed by applicants to the Euronext Derivatives Markets only

For Applicants who are either a "natural person" or have a sole proprietorship -Curriculum vitae and, where available, a certificate of absence of criminal record, of the controller of the business.

APPENDIX B: KEY CONTACTS

Please provide details of the key contacts who will be responsible for the business on the Euronext Markets on either cash and/or derivatives markets. Please provide us with 2 copies of Appendix B when necessary. The key contacts shall be screened in accordance with the current legal and regulatory expectations.

and/or DERIVATIVES MARKETS

MANAGEMENT/BOARD CONTACT

Full Name:			
Telephone No:	Date of Birth:		
Email:	;		
CHIEF FINANCIAL OFFICER (CFO)			
Full Name:			
Telephone No:	Date of Birth:		
Email:	;		
COMPLIANCE OFFICER			
Full Name:			
Telephone No:	Date of Birth:		
Email:	Generic email:		
AML (Anti money laundering) CONT	ACT		
Full Name:			
Telephone No:	Date of Birth:		
Email:			
HEAD OF TRADING			
Full Name:			
Telephone No:	Date of Birth:	Date of Birth:	
Email:	Generic email:		
IT CONTACT	;		
Full Name:			
Telephone No:	Date of Birth:		

This Appendix will be forwarded to our Market Data Department. <u>This contact will be the main point of</u> <u>contact for any subject related to *Market Data* (databuyeuronext@euronext.com).</u>

Generic email:

Full Name:		
Telephone No:	Date of Birth:	
Email:	Generic email:	

Email:

APPENDIX C: CONTACT FOR INVOICING / SEPA DD

Please tick \checkmark the box according to the markets. This Appendix will be forwarded to the Euronext Finance Department, who will contact you for arranging a SEPA Direct Debit following the completion of this Appendix.

CASH MARKETS	and/or DERIVATIVES MARKETS
Applicant's statutory name	
Mailing address	
Contact person	
Job title/position	
Telephone no. (including extension)	
Email address contact person	
VAT (tax) registration no.	
Request for aggregation of Cash Trading fees with existing Member ID ('s)	
Relevant Member ID('s) to be aggregated	

If different,

DERIVATIVES MARKETS

Applicant's statutory name	
Mailing address	
Contact person	
Job title/position	
Telephone no. (including extension)	
Email address contact person	
VAT (tax) registration no.	

APPENDIX D : EURONEXT BLOCK TRADING ACTIVITY AND MARKETS REQUEST

Please confirm the preferred access on Euronext Block by filling in the details below. In case you prefer not to have access to any Euronext Block segment please fill select "None" at type of trading activity.".

Type of trading activity you intend to perform on Euronext Block:

Dealing for own account (Principal)	
Execution of orders for third parties (Agency)	
None	

Please choose the markets you will trade on Euronext Block and add the name of the EuroCCP General Clearing Member(s) through which you intend to clear the stocks. If clearing your own business, please write "self".

COUNTRY	CLEARING HOUSE	EUROCCP GENERAL CLEARING MEMBER(S)
Austria	EuroCCP	
Belgium	EuroCCP	
Denmark	EuroCCP	
Finland	EuroCCP	
France	EuroCCP	
Germany	EuroCCP	
Ireland	EuroCCP	
Italy	EuroCCP	
Netherlands	EuroCCP	
Norway	EuroCCP	
Portugal	EuroCCP	
Spain	EuroCCP	
Sweden	EuroCCP	
Switzerland	EuroCCP	
UK	EuroCCP	

UK/IRISH SECURITIES

If you intend to trade UK and/or Irish securities, please complete the appropriate annexes, available on our <u>Euronext Block</u> website or please contact <u>EuronextMembership@euronext.com</u>.