



NYSE EuronextSM



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Euronext Derivatives Markets
Euronext Securities Markets

**MEMBERSHIP
APPLICATION FORM**

1. Introduction

This standard application form is for those applicants that are not already Members of a Euronext Derivatives or Securities Market¹.

Please complete only one form and return it together with supporting documentation (as requested in the appendices) to either the Euronext Derivatives or the Euronext Securities Membership Department, depending on which is applicable. If applying to both derivatives and securities markets please send to either one of the Membership Departments that will then copy it to its counterpart on your behalf.

MEMBERSHIP DEPARTMENTS	
Derivatives Markets	Securities Markets
Cannon Bridge House 1 Cousin Lane London EC4R 3XX United Kingdom Tel. + 44 (0)20 7379 2283/2214 Fax + 44 (0)20 7379 2409 Email derivativesmembership@nyx.com	Beursplein 5 1012 JW Amsterdam The Netherlands Tel. +31 (0)20 550 4425 Fax +31 (0)20 550 4831 Email cashmembership@nyx.com

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 jurisdictions from where Members may operate.

Applicants should be aware that the Competent Authority of the Market(s) to which you are applying may contact your 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 visit our website www.euronext.com or contact the applicable Membership Department.

¹ All capitalized terms shall have the meaning ascribed to them in the Euronext Rule Book, from time to time in force. Existing Members who wish to extend their membership should fill in a Fast Track Form (rather than the Standard Application Form), available from either Membership Department.

2. Details of Applicant

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

3. Proposed business

Please indicate which Euronext Market Membership(s) are being applied for and for those Markets indicate the name of the chosen General Clearing Member:

Euronext Derivatives Market	Membership desired (please tick ✓)	General Clearing Member ²
Amsterdam		
Brussels		
Lisbon		
London		
Paris		
Euronext Securities Market ³	Membership desired (please tick ✓)	General Clearing Member
Amsterdam		
Brussels		
Lisbon		
London		
Paris		

² Please note applicants wishing to clear business on the London International Financial Futures and Options Exchange must be approved as clearing members by the Exchange, in addition to being approved by LCH.Clearnet Limited. Non clearing applicants should ensure that their chosen General Clearing Members are approved to clear the relevant Markets.

³ Rule 2602/1 provides automatic membership of all Euronext Securities Markets for MiFID Firms unless the applicant indicates otherwise.

4. Trading Activity

Please indicate the type of trading activity⁴ you intend to perform on the Euronext Markets:

Derivatives Markets					
Proposed activity(ies)	Amsterdam	Brussels	Lisbon	London	Paris
Dealing for own account					
Market making					
Execution of orders for other Members (of the same Euronext Derivatives Market)					
Execution of orders for third parties (who are not Members of the same Euronext Derivatives Market)					

Securities Markets					
Proposed activity(ies)	Amsterdam	Brussels	Lisbon	London	Paris
Dealing for own account					
Execution of orders for third parties					
Market making					
Acting as Fund Agent ⁵					

Securities Markets	
Applicant's BIC Code (11 digits) for Transaction Reporting (MiFID)	

5. Applicant's Profile

Is the Applicant currently a member of any other futures and/or options, securities, 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

⁴ The proposed activity(ies) and authorisations of the Applicant will determine the Membership capacity to be designated

⁵ For further details please contact the Securities market membership department.

6. Regulation

Please provide details of the Applicant's regulatory status (*please tick ✓*)

- Credit Institution**
- Investment Firm**
- Non-MiFID⁶ / EEA⁷**
- Non-MiFID / Non-EEA**

Applicants benefiting from passporting rights should contact their home state regulator to ensure the relevant cross border passports are in place.

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)

If the applicant is not a regulated entity, please provide evidence that an application for authorisation from a competent authority has been made but authorisation has not yet been received or provide an explanation on a separate sheet as to why no such authorisation is required.

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 cooperation*

*Host state regulators may request additional information from the applicant.
Host state regulators may impose fees.*

7. 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

⁶ The Markets in Financial Instruments Directive (MiFID) is the legislative framework for investment firms and securities markets in the EU, providing for a "passport" for investment services (i.e. allowing investment services to be provided throughout the EU on the basis of home state authorisation).;

⁷ European Economic Area (EU plus Iceland, Norway and Liechtenstein).

8. Key personnel

Whilst in general references and curriculum vitae will not be taken up on the applicant's key personnel, Euronext retains the right to seek such information where it deems it appropriate to do so. Please provide details of the key personnel that will be responsible for the business on the Euronext Markets - if the applicant is applying to more than one Euronext Market, and wishes to name different contact persons for each Market, please submit the additional details on a separate sheet of paper (clearly indicating the applicable Market(s)):

Director/Senior Executive

Full Name:	
Telephone No:	Fax No:
Email:	Date of Birth:

Compliance Officer.

Full Name:	
Telephone No:	Fax No:
Email:	Date of Birth:

Management of Trading

Full Name:	
Telephone No:	Fax No:
Email:	Date of Birth:

Back Office Manager

Full Name:	
Telephone No:	Fax No:
Email:	Date of Birth:

9. 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 Rules.

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 Rules.

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 Rules, 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 Rules, which shall continue beyond that date.

Compliance with the Euronext Rules

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

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 Rules or required by applicable law or regulation.

Data Protection Provisions

Notwithstanding the Confidentiality clause above, as the operator of regulated markets, the Relevant Euronext Market Undertaking is required to make public the names of Members. We acknowledge and agree that the Relevant Euronext Market Undertaking shall publish by any appropriate means such information in respect of us.

The Relevant Euronext Market Undertaking may also use other information contained in the membership database in respect of the Member for the Euronext Market Undertakings' marketing purposes⁸. Please tick the box if you do *not* agree to the Relevant Euronext Market Undertaking using the information contained in the Membership database for the Euronext Market Undertakings' marketing purposes:

⁸ The information used by the Relevant Euronext Market Undertaking shall be subject to the privacy policy contained on the Euronext website www.euronext.com.

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, and where no arbitration centre is specified in Annexe A to this Declaration, the arbitration centre shall be as mutually agreed by the Parties.

Limitation of Liability

We acknowledge that, without prejudice to any liability arising between the Parties under the Euronext Rules or any agreement entered into between the Parties pursuant to the Euronext Rules, 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 Netherlands Portugal United Kingdom

We certify that the statements in our application for membership and in this Declaration are true and complete.

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

Applicant's Statutory Name		
Signature of applicant	Job title	Date
	Print full name	

Appendix A: Supporting documents

The relevant supporting documents should be submitted together with this application form.

Please use the checklist below to indicate which supporting documents you are submitting with your application.

To be completed by ALL applicants

Information to be sent with the completed application form, where relevant	Yes / NA (not applicable)
Legal incorporation documentation e.g. Certificate of Incorporation 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 relevant the whole group structure, including percentage sizes of holdings and stakeholders' nationalities. The mandatory threshold for inclusion of stakeholders is an interest of 5% or more	
Details of any disciplinary history (as per Q.7)	
List of the Applicant's authorised signatories (and for Dutch firms, an extract from the Chamber of Commerce's trade register showing the authority of the signatories to represent the Applicant)	
<p><u>For Non-MiFID firms:</u></p> <p>(i) Evidence of authorisation indicating the permitted investment activities and financial instruments (where available)</p> <p>(ii) 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</p>	

To be completed by applicants to the Euronext Derivatives Markets only

For applicants which are either a " natural person " or a sole proprietorship Curriculum vitae and where available, a certificate of absence of criminal record, for the controller of the business	
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To be completed by Non-MiFID firms (registered, licensed or incorporated outside the UK) applying to London International Financial Futures and Options Exchange.

Confirmation that in the opinion of the applicant its activities in the UK will fall within the ambit of the overseas persons' exclusions (further detail at Appendix C)	
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Appendix B: Finance

To be completed by ALL Applicants

Billing Details

Please note this Appendix will be forwarded to the Finance Department

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

Appendix C

To be completed by applicants to the Euronext Derivatives Markets only

Country where Member will access LIFFE CONNECT [®] from	
Country where Member will access Bclear ⁹ from	

Please indicate the contract groups you intend to trade on LIFFE CONNECT[®] and/or Bclear by ticking the relevant boxes below:

Euronext Market Undertaking	Subscription	
Amsterdam	Financial (Currency) Futures	
	Financial (Currency) Options	
	Index Futures	
	Index Options	
	Equity Options	
Brussels	Index Futures and Options	
	Equity Options	
Lisbon	Index and Stock Futures and Options	
Paris	Commodity Futures	
	Commodity Options	
	Index Futures	
	Index Options	
	Individual Equity Options	
London	Financial Futures (including Index Futures)*	
	Universal Stock Futures*	
	Financial Options	
	Index Options*	
	Individual Equity Options*	
	Commodity Futures	
	Commodity Options	
Bclear ¹⁰	Commodity Futures	
	Commodity Options	

⁹ London market only

¹⁰ Also includes product groups marked by *

To be completed by applicants to the Euronext Derivatives Markets only

CONTINGENCY CO-ORDINATORS

It is necessary to provide the following details to the Relevant Euronext Market Undertaking so that it is possible for the Exchange to contact a co-ordinator in the case of an emergency. The details of Contingency Co-ordinators are kept in strict confidence.

Main Contingency Co-ordinator (name)	
Office Telephone No.	
Fax No.	
Home No./Mobile Telephone No.	
Pager Bureau No./Pager No.	

Deputy Contingency Co-ordinator (name)	
Office Telephone No.	
Fax No.	
Home No./Mobile Telephone No.	
Pager Bureau No./Pager No.	

Generic e-mail address to receive updates relating to serious incidents on LIFFE CONNECT [®]	
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To be completed by applicants to London International Financial Futures and Options Exchange only

Overseas Persons' Exclusions

Chapter 2.9 of the UK's Financial Services Authority's Perimeter Guidance Manual has general guidance on the overseas persons' exclusions but in general terms they will apply to a person who deals in investments for his own account or as agent and who does not maintain a permanent place of business in the UK provided either:

(a) he deals only with or through a UK authorised or exempt person which includes dealing through a recognised investment exchange such as London International Financial Futures and Options Exchange that operates an electronic dealing system; or

(b) he deals in the UK without breaching the restrictions on financial promotion which are explained in more detail in Appendix 1 to the FSA's Authorisation manual. The FSA Handbook can be viewed at www.fsa.gov.uk

The FSA can be contacted for further guidance on the ambit of the overseas persons' exclusions on the FSA's helpline Tel: +44 (0)20 7676 0082.

Please provide confirmation that in the opinion of the applicant its activities in the UK will fall within the ambit of the overseas persons' exclusions set out in Article 72 of The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001.

I/We confirm that _____(insert applicant's name) activities in the UK fall within the ambit of the overseas persons' exclusions as set out in Article 72 of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001.

I/We confirm that we have no permanent place of business in the United Kingdom from which regulated activities are conducted or offers to conduct regulated activities are made.

Applicant's/Member's Statutory Name		
Signature of applicant	Job title	Date
	Print full name	