



**NYSE Euronext**<sup>SM</sup>

## Euronext Cash Market

### Application form for the registration of a **RESPONSIBLE PERSON** on the Euronext Cash Markets

*This application will not be taken into consideration until this form and all necessary documents have been returned to the Membership/Onboarding & Client Administration Department.*

*We may request additional information where necessary.*

We invite you to read the Euronext Notice 2-01 where global registration process of a Euronext Responsible Person is described.

A Responsible Person has to provide specific documents with the application form (art 15) and has singular duties (art 14) linked to this responsibility.

## 1. Details of MEMBER

*(This section to be completed by the member firm)*

<b>Name of Member firm:</b>	
<b>Member address in full:</b>	
<b>Country:</b>	

Member capacity

**Broker:**

**Dealer:**

Requests the registration as a **Responsible Person** of the following person:

<b>Full name:</b>	
<b>Position with Member firm:</b>	

## 2. Details of Trading Activity

The **Responsible Person** is responsible for:

Type of product (please tick at least one box):

- Shares
- Trackers
- Warrants & Certificates
- Bonds
- Other (please detail): .....

This **Responsible Person** is **exclusively in charge of London cash market**

Type of activity (please tick at least one box):

- Liquidity provider
- Arbitrage
- Retail
- Institutional and professional customer
- Other (please detail): .....

If the **Responsible Person** acts on behalf of an affiliate, please fill in the name of the affiliate:

<b>Affiliate:</b>	
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### 3. Details of PROSPECTIVE RESPONSIBLE PERSON

*(This section to be completed by the prospective Responsible Person)*

<b>Surname:</b>	
<b>First name(s):</b>	
<b>Office address:</b>	
<b>Telephone (office):</b>	
<b>Mobile phone:</b>	
<b>Email (office):</b>	
<b>Nationality:</b>	
<b>Date of birth:</b>	
<b>Place of birth:</b>	

### 4. Euronext Rule Book, Books I and II

Prospective Responsible Person who have been registered by Euronext shall be bound by all applicable rules, regulations, general conditions and notices with relation to the function of Responsible Person laid down at any time by Euronext, in the Euronext Rule Book, Books I and II.

The prospective Responsible Person is aware that providing incomplete or inaccurate information may at all times constitute grounds for termination at any given moment of the applicant's position as a Responsible Person.

This application is also governed by the said rules.

## 5. Declaration of honour on the absence of a criminal record

I, the undersigned	
<b>LAST NAME:</b> (followed by maiden name if applicable)	
<b>FIRST NAME(S):</b>	
<b>DATE OF BIRTH (day, month and year):</b>	
<b>PLACE OF BIRTH:</b>	
do hereby certify that I have not been subject to: <ul style="list-style-type: none"><li>- any criminal conviction, any civil or administrative sanction liable to prohibit my managing, administering or directing a legal entity, or my exercising a commercial activity;</li><li>- any investigation or proceeding which could lead to criminal conviction or a civil or administrative sanction liable to prohibit my managing, administering or directing, of a legal entity, or my exercising, of a commercial activity.</li></ul>	
Are there any other facts or circumstances which might reasonably be considered relevant to the evaluation of your compliance with the requirements for admission as a Responsible Person at Euronext as specified in the Euronext Rulebook, Books I and II, especially but not exclusively as they relate to financial problems and professional conflicts?  <input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>  If yes, please explain:	
<b>APPLICANT'S SIGNATURE:</b>	
<b>DATE (day, month and year):</b>	

## 6. Statement by the prospective RESPONSIBLE PERSON

- 1 By signing this form, the prospective Responsible Person agrees to comply immediately with requests from Euronext's Membership Department for any information, which this department deems necessary for a thorough evaluation of this application.
- 2 The prospective Responsible Person also agrees and hereby authorises Euronext to submit this form to the Competent Authority. The Competent Authority may hold an enquiry into the antecedents of the prospective Responsible Person.
- 3 The prospective Responsible Person and the Member are aware that Euronext may decide to register the prospective Responsible Person on the express condition that no facts emerge from the Competent Authority's investigation into antecedents, which could obstruct registration.
- 4 The prospective Responsible Person agrees that in connection with this application Euronext's Membership Department may request information on the prospective Responsible Person from authorities and/or persons (previous employers, etc.).
- 5 The prospective Responsible Person also agrees and hereby grants permission for any information on him/her present in the files kept by the Competent Authority to be provided to Euronext in connection with his/her application for registration as a Responsible Person.
- 6 The prospective Responsible Person agrees to accept the obligation that Euronext should be able to reach him/her at all times during trading hours.

The undersigned declares that this form and the appendices have been completed truthfully and in full.

<b>Signatures of Member</b> (persons authorised to represent the company under its articles of association):			
<b>Full name:</b>		<b>Full name:</b>	
<b>Position:</b>		<b>Position:</b>	
<b>Signature:</b>		<b>Signature:</b>	
<b>Place:</b>		<b>Place:</b>	
<b>Date:</b>		<b>Date:</b>	

**Signature of prospective Responsible Person:**

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This application form should be accompanied by:

Enclosed:	YES	NO
A copy of a <b>legally valid proof of identity</b> , such as a passport (not a driving licence)		
A recent and complete <b>curriculum vitae</b> containing the following details, as a minimum: <ul style="list-style-type: none"><li>• all previous employers (including references)</li><li>• all qualifications</li></ul>		

**Please send this form to:**

*NYSE Euronext  
Onboarding & Client Administration – Mandy Poort  
P.O. Box 19163  
1000 GD Amsterdam  
The Netherlands*

**All changes to the above information must be reported immediately** in writing to Euronext's Cash markets Onboarding & Client Administration ([cashmembership@nyx.com](mailto:cashmembership@nyx.com))