



**APPLICATION FORM
FOR REGISTRATION OF
AN AFFILIATE ON
EURONEXT SECURITIES MARKETS**

Euronext is conscious of the fact that some firms that wish to obtain direct market access to a Euronext Securities Market are affiliated to companies that already hold Membership of that Euronext Securities Market, and that some of those firms may therefore prefer to operate through their related Euronext Securities Member (“Member”), rather than obtaining membership in their own right.

For the purposes of access to a Euronext Securities Market, “Affiliate” means a Person who:

- (i) owns 95 per cent or more of the Member; or
- (ii) is owned 95 per cent or more by the Member; or
- (iii) is owned 95 per cent or more by a third party who also owns 95 per cent or more of the Member.

Members may only obtain direct access to a Euronext Securities Market for their Affiliates that are located in jurisdictions with satisfactory regulatory arrangements in place, as per the Rules.

Euronext is willing to consider applications for affiliate access on the following basis:

- (a) the Member registers with the Relevant Euronext Market Undertaking in its name one or more Responsible Persons, as appropriate, who will supervise the business being submitted by the Affiliate. The Responsible Person(s) will be required to operate from the office of the Affiliate unless the Member can demonstrate in advance, and to the satisfaction of the Relevant Euronext Market Undertaking, that it could meet its obligations under the Rules and Trading Procedures if the Responsible Person(s) operated from the office of the Member;
- (b) all business undertaken by the Affiliate on a Euronext Securities Market will be done in the name of the Member and the Member will retain full responsibility for the conduct of all such business; and
- (c) in respect of its activities on the Euronext Securities Markets, the premises of the Affiliate will be treated as if they were the premises of the Member and, pursuant to the Rules, the Relevant Euronext Market Undertaking or its duly appointed agents will be afforded access to such premises for any purpose considered necessary by the Relevant Euronext Market Undertaking including, without limitation, any regulatory or systems inspection purpose in respect of Euronext Securities business.

1. Member contact details

Member's statutory name					
Approved Euronext Securities Membership Please indicate (✓)	Amsterdam	Brussels	Lisbon	London	Paris
Mailing address					
Contact name for this application					
Telephone no.					
Fax no.					
Email					

2. Affiliate contact details

Affiliate's statutory name					
Country of incorporation					
Application to become an Affiliate on the following securities market(s) ¹	Amsterdam	Brussels	Lisbon	London	Paris
Mailing address					
Contact name					
Telephone no.					
Fax no.					
Email					
Country where Affiliate will access UTP					
Country where Affiliate will access TCS-Web					

3. Regulatory status

3.1 Please provide details of the Affiliate’s regulatory status (please ✓ as appropriate)¹:

Credit Institution	<input type="checkbox"/>	Investment Firm	<input type="checkbox"/>	Non-MiFID (EEA)	<input type="checkbox"/>	Non-MiFID (Non EEA)	<input type="checkbox"/>
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Affiliates 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 Affiliate’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 Affiliate is not regulated, 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 Securities 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 Affiliate*
- (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 Affiliate.
Host state regulators may impose fees.*

¹ All prospective Affiliates should ensure that, where relevant, they have the appropriate authorisation(s) to conduct business on the Relevant Euronext Market Undertaking(s).

4. Confirmation of Affiliate and Member Relationship

4.1 Please confirm the relationship between the Member and the Affiliate by ticking one of the three boxes below:

- (a) Affiliate owns 95 per cent or more of the Member

- (b) Affiliate is owned 95 per cent or more by the Member

- (c) Affiliate is owned 95 per cent or more by a third party who also owns 95 per cent or more of the Member

5. Group structure

5.1 Please attach a group structure chart showing percentage size of holdings and stakeholders' nationalities.

6. Responsible Person ("RP")

6.1 The Member is required to register at least one Responsible Person to supervise the business being submitted by the Affiliate. Please state whether the Responsible Person(s) operates from the office of the Affiliate by ticking one of the two boxes below:

 Yes No

6.2 If the answer to 6.1 is "No", please explain how the Responsible Person(s) will meet their obligations under the Rules and Trading Procedures by operating from the offices of the Member (please attach a separate sheet).

Statement

We certify that the answers and statements in this form are true and complete. We understand that the Relevant Euronext Market Undertaking(s) must be notified of any other information which is pertinent to this application. We understand that the Relevant Euronext Market Undertaking(s) must be notified immediately of any change in the information provided in this application form that occurs after the date of submission of the form.

We agree to willingly assist the Relevant Euronext Market Undertaking(s) at all times in complying with legal, regulatory and professional obligations and ethical standards and to be candid and truthful in all our dealings with the Relevant Euronext Market Undertaking(s).

WILFUL FALSIFICATION, MISREPRESENTATION, OR OMISSION OF ANY MATERIAL FACT REQUIRED TO BE STATED ON THIS FORM CONSTITUTES CAUSE FOR DENIAL, SUSPENSION, OR REVOCATION OF AFFILIATE STATUS AND/OR MEMBERSHIP.

Signature of Member ²	Title	Date
	Full name	
Signature of Affiliate	Title	Date
	Full name	

Please note that the present form is a generic application form for affiliate access and, depending on the jurisdiction from which the Affiliate is applying, the Exchange may ask for additional information and or documentation.

Appendix A should be completed by Members applying for affiliate access from countries that are members of the European Economic Area (i.e. member states of the European Union plus Iceland, Liechtenstein and Norway).

If you have any questions, please contact the Onboarding & Client Administration team, in charge of Membership matters at cashmembershipecu@nyx.com or by phone + 31 (0)20 550 4425.

When completed, please return this form to:

NYSE Euronext
FAO Onboarding & Client Administration – Mandy Poort
Beursplein 5
1012 JW Amsterdam
The Netherlands

² Please ensure that the application form is signed by authorised signatories of both the Member and the Affiliate.

APPENDIX A

Notice from [MEMBER] re Access to Euronext Cash Markets by [AFFILIATED COMPANY] at [ADDRESS OF REMOTE OFFICE].

(Headed Paper of Member)

[Member] confirms that, with effect from [Date], the Relevant Euronext Market Undertaking(s) and/or their duly appointed agents may (in accordance with the provisions of Euronext Rules and the Trading Platform Agreement) enter the offices situated at [Address] (“the premises”) (and currently occupied by [Affiliated company]).

[Member] agrees that, for the purposes of trading on the Euronext Cash Market Trading Platform and all related matters (for example Euronext Rules), the premises are deemed to be the offices of [Member]. Therefore, [Member] agrees that access is granted to the Relevant Euronext Market Undertaking(s) and/or their duly appointed agents to enter the premises, pursuant to Euronext Rules and requirements implemented under the Rules, for any purpose considered necessary by Euronext including, without limitation, any regulatory or systems inspection purpose in respect of Euronext Cash Market Trading Platform. [Member] agrees that (i) it accepts full responsibility for all matters relating to the conduct of Euronext Cash Market Trading Platform at the premises; and (ii) in the event that access to the premises is denied, or impeded in any way, Euronext has the right to restrict, suspend or terminate access from the premises to Euronext Cash Market Trading Platform at its absolute discretion.

[Member] undertakes to indemnify Euronext and keep Euronext fully and effectively indemnified against all costs, claims, demands, expenses and liabilities of whatsoever nature incurred or suffered by [Affiliated Company] arising out of or in connection with the terms of this letter.

Director
[Member]

[Affiliated company] has read and understood the above declaration from [Member] and hereby consents to the arrangements and undertakings set out therein.

Director
[Affiliated company]

APPENDIX B

To be completed by Members applying for Affiliate Access from Switzerland

Access Undertaking for use by Members wishing to grant Affiliates in Switzerland a form of direct access to the Universal Trading Platform of Euronext

Notice from [MEMBER] re Access to Euronext by [AFFILIATED COMPANY] at [ADDRESS OF REMOTE OFFICE].

(Headed Paper of Member)

[Member] confirms that, with effect from [Date], the Relevant Euronext Market Undertaking(s) and/or their duly appointed agents may (in accordance with the provisions of Euronext Rules and the User and Licence Agreement) enter the offices situated at [Address] ("the premises") (and currently occupied by [Affiliated company]).

[Member] agrees that, for the purposes of trading on Euronext and all related matters (for example Euronext Rules), the Premises are deemed to be the offices of [Member]. Therefore, [Member] agrees that access is granted to the Relevant Euronext Market Undertaking(s) and/or their duly appointed agents to enter the Premises, pursuant to Euronext Rules and requirements implemented under the Rules, for any purpose considered necessary by Euronext including, without limitation, any regulatory or systems inspection purpose in respect of Euronext business, subject to any mandatory rules under Swiss law, in particular article 38 of the Swiss Stock Exchange Act. [Member] agrees that (i) it accepts full responsibility for all matters relating to the conduct of Euronext business at the Premises; and (ii) in the event that access to the Premises is denied, or impeded in any way, Euronext has the right to restrict, suspend or terminate access from the Premises to Euronext at its absolute discretion.

[Member] undertakes to indemnify Euronext and keep Euronext fully and effectively indemnified against all costs, claims, demands, expenses and liabilities of whatsoever nature incurred or suffered by [Affiliated Company] arising out of or in connection with the terms of this letter.

The terms of this letter shall be subject to and construed in accordance with the governing law as set out in the Rules. In respect of an Affiliate of a Euronext Paris member the terms of this letter shall be subject to and construed in accordance with the laws of France and the courts of France shall have exclusive jurisdiction to settle any dispute arising from or connected with the terms of this letter. In respect of an Affiliate of a Euronext Amsterdam member the terms of this letter shall be subject to and construed in accordance with the laws of The Netherlands and the courts of The Netherlands shall have exclusive jurisdiction to settle any dispute arising from or connected with the terms of this letter. In respect of an Affiliate of a Euronext Brussels member the terms of this letter shall be subject to and construed in accordance with the laws of Belgium and the courts of Belgium shall have exclusive jurisdiction to settle any dispute arising from or connected with the terms of this letter. In respect of an Affiliate of a Euronext Lisbon member the terms of this letter shall be subject to and construed in accordance with the laws of Portugal and the courts of Portugal shall have exclusive jurisdiction to settle any dispute arising from or connected with the terms of this letter.

Director [Euronext Member]

[Affiliated company] has read and understood the above declaration from [Member] and hereby consents to the arrangements and undertakings set out therein.

Director [Affiliated company]