

## FUND AGENT Registration Form

Please return this form by email to [lpeurope@euronext.com](mailto:lpeurope@euronext.com) and send the original by post to Euronext: Euronext, FAO: Global Analytics, Office 5.1, 14 Place des Reflets, 92054 Paris La Défense Cedex, France.

### 1. INTRODUCTION

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Through the NAV Trading Facility<sup>1</sup> defined in Euronext Instruction n°4-03, a Euronext Securities Member acting as Fund Agent may manage orders sent by Euronext Securities Members for the purpose of subscription or redemption of shares/units of eligible Open-Ended Investment Funds.

Open-Ended Investment Funds shall be considered as eligible to the extent that the funds are currently admitted for listing on Euronext Markets (hereinafter Eligible Open-Ended Investment Funds).

The onboarding of the Euronext Securities Member applying as the Fund Agent should be managed by the Euronext Market Undertaking having admitted the Eligible Open-Ended Investment Funds or, as the case may be, the Market of Reference (hereinafter Euronext).

Onboarding of a new Fund Agent shall be conditional on acceptance being given by the Euronext Securities Member that it will meet the following requirements and undertakings for the time being and as long as the Member carries out this activity through and within the scope of the NAV Trading Facility.

### 2. REPRESENTATIONS AND WARRANTIES

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2.1 The Euronext Securities Member represents and warrants to Euronext that:

- (a) the Eligible Open-Ended Investment Fund for which the Euronext Securities Member is applying to be a Fund Agent and, as the case may be, the management company of the Eligible Open-Ended Investment Fund, are fully aware of the functionalities provided by the NAV Trading Facility as described by the Euronext Securities Markets, notably pursuant to Euronext Instruction n°4-03;
- (b) the Eligible Open-Ended Investment Fund for which the Euronext Securities Member is applying to be a Fund Agent and, as the case may be, the management company of the Eligible Open-Ended Investment Fund, are fully aware of the obligations undertaken by the Fund Agent as described by the Euronext Securities Markets, notably pursuant to Euronext Instruction n°4-03;
- (c) the Eligible Open-Ended Investment Fund for which the Euronext Securities Member is applying to be a Fund Agent has complied with the obligations regarding registration and notification, including the prospectus or other procedures which are a necessary precondition for the distribution of the collective investment scheme undertaking in the jurisdiction of Euronext, and accordingly that these are consistent with the activity of Fund Agent;
- (d) the Eligible Open-Ended Investment Fund for which the Euronext Securities Member is applying to be a Fund Agent, and as the case may be the management company appointed by the Eligible Open-Ended Investment Fund, have previously to the submission of this Fund Agent Registration Form given their express consent to authorize the Euronext Securities Member to act as a Fund Agent as described by the Euronext Securities Markets, notably pursuant to Euronext Instruction n°4-03;

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<sup>1</sup> All capitalized terms shall have the meaning ascribed to them in the Rule Book which is in force. This may be subject to change from time to time.

(e) the Eligible Open-Ended Investment Fund for which the Euronext Securities Member is applying to be a Fund Agent, and, as the case may be, the management company appointed by the Eligible Open-Ended Investment Fund, have previously to the submission of this Fund Agent Registration Form defined mutually with the Euronext Securities Member that will act as a Fund Agent, the Execution Price and its limits against the NAV as specified in Appendix I. The Execution Price limits against the NAV shall be published through a Notice from the relevant Euronext Securities Markets.

For the avoidance of doubt, the Fund Agent shall comply with and monitor the predefined limits without prejudice to the application of the Rules by the relevant Euronext Securities Markets, in particular Article 2802/1 i) under Book I Harmonized Market Rules;

(f) more generally, the activity of Fund Agent is compliant with all applicable laws or regulations, registrations and other authorisations applicable directly or indirectly to the Euronext Securities Member.

2.2 The Euronext Securities Member shall fully indemnify, keep indemnified and hold harmless Euronext on demand from and against any and all losses, liabilities, damages, costs, claims and expenses arising from each act or omission contravening to these representations and warranties. Euronext shall notify the Euronext Securities Member of any actual claim notified to itself which Euronext reasonably believes may fall within the obligations of the Euronext Securities Member acting as Fund Agent.

2.3 The Euronext Securities Member grants Euronext a non-exclusive, transferable, royalty-free licence to use any of its Commercial references, whether trademarks or not, in connection with promoting the Fund Agent or the NAV Trading Facility in any way.

2.4 The Euronext Securities Member and Euronext shall appoint contact details for day-to-day communications.

For Euronext:

**Product Management European ETPs**

Tel: +33 (0)1 85 14 85 94                      Email: [etpeurope@euronext.com](mailto:etpeurope@euronext.com)

**LP / Fund Agent Management (Global Analytics)**

Email: [lpeurope@euronext.com](mailto:lpeurope@euronext.com)

**EMS Exchange-Traded Products Desk**

Tel: +33 (0)1 85 14 85 85                      Email: [EMSETP@euronext.com](mailto:EMSETP@euronext.com)

For the Euronext Securities Member:

Name:		Email:	
Tel:		Title:	

Name:		Email:	
Tel:		Title:	

### 3. SUSPENSION, CHANGES, TERMINATION AND TRANSFER

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The Euronext Securities Member acknowledges that:

- Euronext may suspend the activity of the Fund Agent, or some rights pertaining to this activity, according to the circumstances described in the Rules, notably Rule 9301/1 iii, Rule Book I.
- Euronext may suspend access to the NAV Trading Facility, modify or adjust its operating rules at its sole discretion without liability to the Euronext Securities Member. Euronext will notify the Euronext Securities Member as soon as reasonably practicable.
- Euronext reserves the right to make any modifications or adjustments related to terms and conditions applying to the Fund Agent from time to time, justified notably by technical or regulatory reasons or policies. As the case may be, Euronext will endeavour to give information in an appropriate manner (notification or updated version of notification on website) or request consent that may be reasonably expected for such change.
- Unless otherwise provided above and mainly except if the other Party contravenes laws and regulations, the Fund Agent Registration may be entirely terminated by giving the other thirty (30) trading days' prior written notice.
- The following provisions of the Agreement shall survive the termination of the Fund Agent Registration: Payment, Confidential Information, Liability, Indemnification and Governing Law and Jurisdiction.
- This registration may not be transferred, assigned or encumbered by or on behalf of the Fund Agent unless the Euronext Securities Member and Euronext agree otherwise.

### 4. ADMISSION AS A FUND AGENT

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In consideration of (i) Euronext examining and processing this application, and (ii) the applicant co-operating and providing NYSE Euronext with the appropriate information in support of this application, we hereby agree that the activity of Fund Agent is governed by the Fund Agent Registration Form in addition to the following documentation:

- Appendix 1: List of Open-Ended Investment Funds for which the activity of Fund Agent will be performed;
- Appendix 2: Fund Agent Registration Update Form for the subsequent addition and/or removal of Open-Ended Investment Funds to and/or from the original Fund Agent Registration Form;
- Euronext Rule Books and Notices including Euronext Instruction N° 4-03 Trading Manual for the NAV Trading Facility;
- The existing Euronext Membership Application Form, included the Liability Clause;
- The Trading Platform Agreement or respectively the Trade Confirmation System Web Agreement for any terms and conditions related to technical access to the NAV Trading Facility;
- The Trading Fee Guide;

and that these documents taken together constitute a set of documentation legally binding upon the Fund Agent (referred to as "the Agreement").

We understand that our admission as a Fund Agent will not commence until (i) we have completed the Registration Form to the satisfaction of Euronext and have provided such additional information as is, and entered into such agreements as are, required by Euronext; (ii) our application has been approved by Euronext; (iii) Euronext has notified us of its decision in writing; and (iv) the Euronext Trading Announcement has been disseminated to the relevant Marketplace.

Once notification of the approval of the application is received by us, our access to the test environment will be confirmed for conformance tests. We will then liaise with Euronext ([lpeurope@euronext.com](mailto:lpeurope@euronext.com)) to confirm a start-up date in the live environment.

### Signature by Authorised Signatory

*Please note: this form can only be signed by an Authorised Signatory (authorised to represent the Member by virtue of the law, articles of association, rules, etc).*

<b>Member Company Name:</b>	
<b>Member ID on Euronext Cash Markets:</b>	
<b>Signature of Authorized Signatory:</b>	
<b>Full name of Authorized Signatory:</b>	
<b>Date:</b>	

**Reminder:**

Please send a scanned version of this form to [lpeurope@euronext.com](mailto:lpeurope@euronext.com), and send the original paper version by post to: Euronext, FAO: Global Analytics, Office 5.1, 14 Place des Reflets, 92054 Paris La Défense, France

## APPENDIX 1: LIST OF OPEN-ENDED INVESTMENT FUNDS

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We hereby apply to become Fund Agent on the Open-Ended Investment Funds listed below:

<b>NAME OF OPEN-ENDED INVESTMENT FUND</b>	<b>ISIN CODE</b>	<b>MARKET OF REFERENCE</b>	<b>EXECUTION PRICE LIMITS AGAINST THE NAV (in %)</b>

## APPENDIX 2: FUND AGENT REGISTRATION UPDATE FORM

Member company name:	
Contact name:	
Tel:	
Email:	
Date:	

### I. ADMISSION AS A FUND AGENT ON THE FOLLOWING OPEN ENDED INVESTMENT FUND(s)

As an active Fund Agent on the Euronext Securities Markets, we hereby request to become Fund Agent on the Open-Ended Investment Fund(s) listed below:

NAME OF OPEN-ENDED INVESTMENT FUND	ISIN CODE	MARKET OF REFERENCE	EXECUTION PRICE LIMITS AGAINST THE NAV (in %)

### II. RESIGNING AS A FUND AGENT ON THE FOLLOWING OPEN ENDED INVESTMENT FUND(s)

As an active Fund Agent on the Euronext Securities Markets, we hereby request to resign our status as Fund Agent on the Open-Ended Investment Fund(s) listed below:

NAME OF OPEN-ENDED INVESTMENT FUND	ISIN CODE	MARKET OF REFERENCE

We understand that our admission / resignation as Fund Agent on the funds detailed above will not be effective until (i) we have completed the Funds Update Form to the satisfaction of Euronext and have provided such additional information as is, and entered into such agreements as are, required by Euronext; (ii) our Funds Update Form has been approved by Euronext; (iii) Euronext has notified us of its decision in writing; and (iv) the appropriate Euronext Trading Announcement has been disseminated to the relevant Marketplace.

#### **SIGNATURE BY AUTHORISED SIGNATORY**

*Please note: this form can only be signed by an Authorised Signatory (authorised to represent the Member by virtue of the law, articles of association, rules, etc).*

<b>Member Company Name:</b>	
<b>Member ID on Euronext Cash Markets:</b>	
<b>Signature of Authorized Signatory:</b>	
<b>Full name of Authorized Signatory:</b>	
<b>Date:</b>	

#### **Reminder:**

Please send a scanned version of this form to [lpeurope@euronext.com](mailto:lpeurope@euronext.com), and send the original paper version by post to: Euronext, FAO: BAS team, Office 5.1, 14 Place des Reflets, 92054 Paris La Défense Cedex, France