

AMENDMENT TO ANNEX B.114 TO THE CC&G INSTRUCTIONS

PROMPT UPDATING OF REFERENTS AND CONTRACTUAL REPRESENTATIVES; START OF OPERATIONS AND POSSIBLE UPDATING OF ADMISSION DOCUMENTATION; SHAREHOLDERS AND PARENT COMPANY

ANNEXES

INFORMATION TO BE SENT BY MEMBERS
--

A) SUPERVISORY CAPITAL*CLEARING MEMBERS*- *BANKS AND INVESTMENT FIRMS:*

not later than the fifth CC&G open day starting from 11 February and 11 August: with reference to the capital respectively at 31 December and 30 June;

not later than the fifth CC&G open day starting from 12 May and 11 November: with reference to the capital respectively at 31 March and 30 September¹.

CC&G may extend the above time limits where the regulatory authorities of a Bank or an Investment Firm admitted to the System pursuant to Article B.2.1.1, paragraph 3 of the Regulations require such statements to be drawn up at different intervals. The above mentioned declaration could be communicated either electronically, using the “import function” available through the CC&G Internet site (euronext.comwww.lseg.com/ccg), or by registered letter with return receipt or by courier. The declaration forwarded by letter or by courier must be sent in advance by e-mail and shall be signed by the Legal or Contractual Representative, or by the Delegate with management powers exercisable in non-electronic form².

B) SHAREHOLDERS AND PARENT COMPANY*CLEARING MEMBERS AND TRADING CLIENT***Promptly:**

- a) every change in the percentage held by the (absolute or relative) majority shareholders;
- b) every change in the percentage held by each shareholder equal to or larger than 10% of the share capital;
- c) **every change in the parent company of the group the Member belongs to.**

C) CLEARING AND GUARANTEE SYSTEMS*CLEARING MEMBERS*

Promptly: withdrawal from and/or participation in another Clearing and Guarantee System.

¹ If the dates established from the Supervisory Authorities fall on a public holiday in the Member State of the Member, or a Saturday or a Sunday, the count of the five CC&G open days runs starting from the following working day. If the date resulting from the count in turn falls on a public holiday, or a Saturday or a Sunday, the data can be submitted to CC&G within the first following CC&G open day.

² With respect to Members different from institutions subject to the application scope of EU Regulation No. 575/2013, CC&G will refer to the transmission terms provided by the prudential provisions applicable to those entities.

INFORMATION TO BE PROVIDED BY MEMBERS

D) PLACE OF CLEARING

CLEARING MEMBERS

Promptly: at any variation of the place of Clearing.

E) DELEGATES WITH MANAGEMENT POWERS IN PAPER FORM

CLEARING MEMBERS

Not later than 30 June of each year: at any variation in the appointments of delegates with management powers exercisable in non-electronic form.

F) REFERENTS AND CONTRACTUAL REPRESENTATIVES

CLEARING MEMBERS

~~Not later than 30 June of each year~~ **Promptly:** at any variation of the referents entitled to receive all individual communications (having operational nature) from CC&G to the Member, **as well as the contractual representative indicated in the Request for Services.**

G) PERSONNEL AUTHORIZED TO REQUEST THE SUSPENSION OF THE TRADING CLIENTS FROM THE MEMBERSHIP TO THE SECTION/S AND RELATED REVOCATION

GENERAL CLEARING MEMBERS

Not later than 30 June of each year: at any variation of the persons authorized to request the suspension of the Trading Clients from the Section/s and related revocation, using the form set out in Annex B.122B.

H) ORGANIZATIONAL STRUCTURE AND TECHNOLOGICAL AND IT SYSTEMS THAT GUARANTEE THE SMOOTH, CONTINUOUS AND EFFICIENT MANAGEMENT OF THE RELATIONS AND ACTIVITIES RESULTING FROM MEMBERSHIP OF THE SYSTEM

CLEARING MEMBERS

Not later than 30 June of each year: at any variation concerning the technological and IT systems that guarantee the smooth, continuous and efficient management of the relations and activities resulting from membership of the system.

I) DECLARATION ABOUT THE MAINTENANCE OF ADEQUATE RECOVERY, REACTIVATION AND RESTORATION PROCEDURES OF THE ELABORATION PROCESSES

CLEARING MEMBERS

Not later than 30 June of each year: at any variation concerning the recovery, reactivation and restoration procedures of the elaboration processes.

OL) THE LAST APPROVED FINANCIAL STATEMENTS AND THE MOST RECENT QUARTERLY OR HALF-YEARLY REPORT FOR THE YEAR

CLEARING MEMBERS

Not later than 30 June of each year

PM) DESCRIPTION OF THE ACTIVITIES OF THE COMPANY AND OF THE PARENT COMPANY AND OF THE RISK MANAGEMENT AND BACK-OFFICE STRUCTURES

CLEARING MEMBERS

Not later than 30 June of each year

PN) COPY OF THE LATEST RATING ISSUED TO THE COMPANY AND/OR TO THE PARENT COMPANY

CLEARING MEMBERS

Promptly: at any variation of the rating obtained by the company and/or by the parent company.

O) START OF OPERATIONS AND POSSIBLE UPDATING OF ADMISSION DOCUMENTATION

The start of operations of the Member, conditional on the adoption of a specific admission decision by the CC&G Membership Committee with regard to the related applications for admission, extension of services, or changes in membership profiles, must take place within ten days prior to the shareholding disclosures to the competent Authorities as per Annex B.114, letter A).

Accordingly, based on the date of the related resolution, the start of operations must take place within the following deadlines:

- first of February, for admission decisions adopted in the period between 1 November and 31 January
- second of May, for admission decisions adopted in the period between 1 February and 1 May
- first of August, for admission decisions adopted in the period between 2 May and 30 July
- first of November for admission decisions adopted in the period between 1 August and 31 October

If the start of operations does not take place within the above-mentioned deadlines, CC&G may require the Member to update and/or resubmit all or part of the admission documentation in accordance with Article B.2.1.3 of the CC&G Rules.

For Trading Clients, the request for any update and resending of the admission documentation will also be extended to the related General Clearing Member.