

**Registration Form  
for Euronext Fund Service Paris (“RF for EFS Paris”)**

**PLEASE NOTE**

By executing this form, the applicant acknowledges and agrees that the signed and scanned version and its supporting documents (Appendix 1) as sent to [EuronextMembership@euronext.com](mailto:EuronextMembership@euronext.com), along with the Euronext confirmation of acceptance letter issued, scanned and sent by Euronext (“Acceptance letter”), shall constitute evidence of the conclusion and acceptance of the terms of a legally binding agreement between the parties (“Agreement”).

All capitalised terms shall have the meaning ascribed to them in the Euronext Rules or the set of contractual documents. This may be subject to change from time to time.

## 1. DETAILS OF APPLICANT

---

Euronext Securities <sup>1</sup> Member name	
Trade and Company register number	
Member ID	
Contact name	
Contact email address	

Hereinafter referred to as “Member” or “you”

## 2. TERMS AND CONDITIONS TO BE REGISTERED TO THE EURONEXT FUND SERVICE – PARIS

---

### 2.1 ENTIRE AGREEMENT

This Agreement shall include this RF for EFS Paris, and the Membership Application Form which you hereby confirm you have previously executed to act as Member on Euronext Paris Securities Markets.

### 2.2 TRANSMISSION OF THE MESSAGES TO THE SETTLEMENT AGENT

The RF for EFS Paris service is conditional to the communication by the Member of the complete information requested about the Settlement Agent. Furthermore, this form aims to describe the proceeding for each of the options i. or ii. below allowing the Member to achieve the transmission of messages<sup>2</sup> to the relevant settlement agent (“Settlement Agent”).

i. Transmission by the Member itself (“Direct Transmission”). By Direct Transmission, it is meant that the Member performs itself the conveyance of the messages to its Settlement Agent without using the technical facilities made available by Euronext.

or,

ii. Transmission via the Euronext systems (“Indirect Transmission”). By Indirect Transmission, it is meant that the Member requires from Euronext to convey on its behalf the messages to its Settlement Agent by using the technical facilities made available by Euronext.

In addition to the above, it is required from Euronext to give access to the relevant Settlement Agent authorized by the Member to the End of Day file.<sup>3</sup>

#### 2.2.1 OPTION FOR THE TRANSMISSION OF THE MESSAGES

It is required from you (a) to opt for one of the two options listed under i. or ii. mentioned by ticking the relevant box in Appendix 1 (“Settlement Agent Form”<sup>4</sup>) (b) to sign the Appendix 1 duly completed (c) to submit Appendix 1 to your Settlement Agent for signature and then (d) to email the scanned document signed to Euronext together with the RF for EFS Paris. In case of change on the option initially selected, please follow the same proceeding described under the 2.1.1 and seq. for the update.

---

<sup>1</sup> Under the RF for EFS Paris, any market, including any regulated market, for Securities operated by any Euronext Market Undertaking.

<sup>2</sup> The messages contains data for the delivery versus payment instructions.

<sup>3</sup> The End of Day file contains the delivery versus payment instructions data for the trading day.

<sup>4</sup> Due to a CCP clearing, Euronext will be appointed by the Member to transfer technical messages allowing the relevant settlement agent to manage settlement delivery instructions for the account of the Member.

## **2.2.2 SETTLEMENT AGENT CHANGE**

In such event where a Settlement Agent is newly designated by the Member, both Parties agree that the EFS Paris is subject to the execution of a new Annex 1 for which the effective date will be communicated by Euronext to the Member in a practicable time. The testing shall be observed by the Member in accordance with the section 2.2.3 below. For clarity, it is reminded that without the Settlement Agent, the EFS service is not enabled to be provided correctly

## **2.2.3 TEST**

The test aims to ensure the successful transmission of messages from Euronext trading systems to the systems of the Settlement Agent previously appointed by the Member ("Euronext test"). For this purpose, the Member and its designated Settlement Agent shall comply with the procedures and requirements in respect of conformance testing set out in Euronext's technical specifications and operational policies. Separately, Euronext draws to the Member's attention that it is strongly recommended that the Member performs an end-to-end test, from the sending of the orders through EFS Paris to the completion of the settlement delivery step by its relevant central securities depository. Accordingly, upon request for an end-to-end test from the Member to the Euronext CTSG team (see section 3 for contact details), Euronext will make its best efforts to participate in the test with the Member and other players.

## **2.2.4 GO LIVE**

Once the Member has passed the Euronext test fully, Euronext will determine with the Member the date of the go-live, that is, when the Member can start sending orders on EFS Paris. By defining the go-live date agreed by both Parties, Euronext assumes that the end-to-end testing has been successful.

## **2.3 CHANGE, TERMINATION AND TRANSFER**

The Member acknowledges and agrees that:

### **2.3.1 EURONEXT CHANGE**

Euronext reserves the right to make any modifications or adjustments related to terms and conditions applying to the Member 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.

### **2.3.2 TERMINATION**

Unless otherwise provided above and mainly except if the other Party contravenes laws and regulations, the RF for EFS Paris may be entirely terminated by giving the other Party thirty (30) trading days' prior written notice.

### **2.3.3 SURVIVING CLAUSES**

The following provisions based on the Membership Application Form shall survive the termination of the RF EFS Paris: payment, confidential information, liability, indemnification and governing law and jurisdiction according to the Membership Application Form.

### **2.3.4 TRANSFER**

This registration may not be transferred, assigned or encumbered by or on behalf of the Member unless Euronext agrees otherwise.

### 3. KEY CONTACTS

The Member and Euronext appoint the following contact details for day-to-day communications with regards to the relationship with Euronext.

For Euronext:

#### CTSG

Tel: +33 (0) 1 85 14 85 88

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

#### Product Management European ETPs

Tel: +33 (0)1 70 48 28 96

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

#### European Market Services

Tel: +33 (0)1 8514 8585

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

For the Member:

Name:		Email:	
Tel:		Title:	

Name:		Email:	
Tel:		Title:	

### 4. PERSONAL DATA

#### 4.1 PERSONAL DATA

The Member is informed that any personal data gathered are intended for Euronext's use only and will only be used in the framework of this Agreement (as defined below).

#### 4.2 COMPLIANCE

These data, if applicable, shall be covered by a declaration made to the appropriate administrative authority. Euronext will take care of this formality. These data will be stored and processed in accordance with the provisions of the Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data, and applicable law.

#### 4.3 ACCESS RIGHT & OTHERS

Relevant persons have the right to access, amend or delete data relating to them and may exercise this right by sending a letter to Euronext. They also have the right, on legitimate grounds, to oppose to the processing of data relating to them.

#### Signature by the authorized representative

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

<b>Member Company Name:</b>	
<b>Signature of authorized representative :</b>	
<b>Full name of authorized representative :</b>	
<b>Date:</b>	

**APPENDIX 1: SETTLEMENT AGENT FORM RELATED TO THE MESSAGES FOR THE SETTLEMENT OF TRANSACTIONS EXECUTED THROUGH EURONEXT FUND SERVICE PARIS**

---

## SETTLEMENT AGENT FORM<sup>5</sup>

### 1. EURONEXT CASH MEMBER ON PARIS MARKETS

---

Company name	
Member Code	
Trade and company register number	
Head office address	
BIC with 11characters	

Applicant to be Member within the meaning of Euronext's market rules OR Member on the EFS Paris in case of change required according to the section 2("Member") .

The Member and Euronext Paris SA ("Euronext"<sup>6</sup>) hereby agree that this scanned signed copy of this form constitutes between the Member and Euronext a proof in writing of their Agreement.<sup>7</sup>

### 2. PURPOSE OF THIS FORM

---

It is required from you (a) to declare for which purpose you are filling the current form by ticking the relevant box below (b) to sign it duly completed (c) to submit the form to your Settlement Agent for signature and then (d) to email the scanned document signed to Euronext via email to [EuronextMembership@euronext.com](mailto:EuronextMembership@euronext.com).

The purpose of this Settlement Agent Form is to:

apply for the first time to the following EFS Paris transmission for the settlement messages

Direct Transmission<sup>8</sup>

If so, please fulfil the blanks in the section 3.

Indirect Transmission<sup>9</sup>

If so, please fulfil the blanks in the section 4.

Or,

change the initial option of the transmission to opt for the following

Direct Transmission

If so, please fulfil the blanks in the section 3.

Indirect Transmission

If so, please fulfil the blanks in the section 4

---

<sup>5</sup> This Settlement Agent Form constitutes an Appendix 1 to the RF for EFS Paris

<sup>6</sup> Euronext Paris SA RCS 343406732 Capital Euro 130 332 568 14, place des Reflets 92054 Paris La Défense Cedex France

<sup>7</sup> 'Agreement' refers to the Membership Application Form, the Registration Form for EFS Paris, and the current Settlement Agent Form

<sup>8</sup> By Direct Transmission, it is meant that the Member performs itself the conveyance of the messages to its Settlement Agent without using the technical facilities available by Euronext. Notwithstanding the above, it is required from Euronext to give access to the Settlement Agent authorized by the Member to the End of Day file Service .

<sup>9</sup> By Indirect Transmission, it is meant that the Member requires from Euronext to convey on its behalf the messages to its Settlement Agent by using the technical facilities available by Euronext

Please note that upon receipt of this document, Euronext will inform you of the effective date of the option change.

Or,

change of the Settlement Agent

If so, please fulfil the blanks in the section 5.

Please note that upon receipt of this document, Euronext will inform you of the effective date of the Settlement Agent change.

Or,

other change

Please describe and contact Euronext

### 3. DIRECT TRANSMISSION (WITHOUT EURONEXT)

The Member (1) will perform its trading activity through the EFS Paris, for which settlement is carried out without CCP clearing.

Hereby, the Member declares to opt for Direct Transmission and authorizes the following Settlement Agent to access the End Of Day file.

<b>Name of company appointed by the Member as Settlement Agent</b>	
<b>Registration number</b>	
<b>BIC (11 characters)</b>	

### 4. INDIRECT TRANSMISSION (VIA EURONEXT SYSTEMS)

The Member (1) will perform its trading activity through the EFS Paris, for which settlement is carried out without CCP clearing.

Hereby, the Member declares to opt for Indirect Transmission and requires from Euronext to send Settlement instructions messages to the Settlement Agent.

Please complete carefully Section 2A below to appoint a Settlement Agent.

<b>2.A. Name of company to be newly appointed by the Member as Settlement Agent</b>	
<b>Registration number</b>	
<b>Broker's account number on settlement agent's books</b>	
<b>BIC (11 characters)</b>	

## 5. CHANGE OF SETTLEMENT AGENT

---

In case of a Settlement Agent change, please complete Section 2A below to appoint a new Settlement Agent and in addition Section 2B for termination of the previous Settlement Agent.

2.A. Name of company to be newly appointed by the Member as Settlement Agent	
Registration number	
Broker's account number on settlement agent's books	
BIC (11 characters)	

2.B. Company name for which Settlement Agent appointment is terminated	
Registration number	
BIC (11 characters)	

## 6. SPECIFIC TERMS AND CONDITIONS FOR THE TRANSMISSION OF INSTRUCTION MESSAGES

---

The Member and Euronext, acting as parties, hereby acknowledge and agree that:

- **INDEPENDENT BUSINESS** the Settlement Agent takes responsibility for the control and monitoring of settlement instructions in accordance with applicable laws and regulations;
- **SETTLEMENT AGENT'S CONSISTENCY WITH THE AGREEMENT** For the Indirect Direct transmission, the Member declares that the Settlement Agent is aware and accepts to receive the messages according to the specifications of Euronext and will cooperate before, on and after its appointment by the Member including for the reversibility period. More generally, the Member confirms that the agreement between the Member and its Settlement Agent is in compliance of the rights and obligations defined herein between the Member and Euronext;
- **TECHNICAL FACILITIES** Euronext will make its best efforts to act as the technical transmission channel for data required for the Settlement Instructions in accordance with Euronext's technical requirements. Notably, Euronext reserves the right to suspend, adapt, adjust and modify its technical facilities upon reasonable prior notice if such change is expected to impact the technical transmission due to the Member; in addition, the Member, when appropriate, accepts that the service may evolve depending on the evolution of the IT facilities management agreement entered into between Euronext and its subcontractors.
- **LIABILITY** As a result thereof, Euronext may not be liable except for gross negligence, fraud or wilful misconduct.
- **EFFECTIVE DATE** The Member and Euronext hereby agree that this form will take effect starting from the date communicated by Euronext.

**FOR THE SETTLEMENT AGENT**

<b>Settlement Agent Company Name</b>	
<b>Signature of the Settlement Agent</b>	
<b>Full Name of authorized representative</b>	
<b>Position</b>	
<b>Date</b>	

**FOR THE MEMBER**

<b>Member Company Name</b>	
<b>Member ID on Euronext Securities Markets</b>	
<b>Signature of authorized representative</b>	
<b>Full name of authorized representative</b>	
<b>Position</b>	
<b>Date</b>	