

BondMatch

MEMBERSHIP APPLICATION FORM

PLEASE NOTE

A scanned and duly signed version may be emailed to EuronextMembership@euronext.com

1. INTRODUCTION

This membership application form is for those applicants that do not already hold membership of the Euronext Securities Markets and wish to further conduct business on BondMatch¹.

BondMatch is a Pan-European Multilateral Trading Facility operated by Euronext Paris S.A., under the supervision of the French Autorité des Marchés Financiers (hereinafter “AMF”).

Please complete this form and return it together with supporting documentation to the Euronext Membership Department.

Euronext Membership Department

Beursplein 5
1012 JW Amsterdam
The Netherlands

email: EuronextMembership@euronext.com
tel. +31 20 721 4264/+33 1 7048 2827

All applicants should ensure that, where relevant, they have the appropriate regulatory authorisation(s) to conduct business on BondMatch. Please note that there are restrictions on jurisdictions from where Members may operate.

Applicants should be aware that the AMF may contact their home state regulator for additional information. The AMF may also request further information from the applicant directly and may impose fees.

For any further information, please visit our website or contact the Membership department.

2. LIST OF SUPPORTING DOCUMENTS

The process of your Membership Application Form can only start after receipt of the supporting documents. Please use the checklist below to indicate which supporting documents you are submitting with your application.

Information to be sent with the completed application form, where relevant	Yes/NA (not applicable)
Legal incorporation documentation e.g. Certificate of Incorporation and Memorandum and Articles of Association, or equivalent document(s) depending on country of incorporation	
Group structure diagram showing the ownership of the applicant and where relevant the whole group structure, including percentage sizes of holdings and stakeholders' nationalities. The mandatory threshold for inclusion of stakeholders is an interest of 5% or more	
Details of any disciplinary history (as per Q.6)	
List of the applicant's authorised signatories (and for Dutch firms, an extract from the Chamber of Commerce's trade register showing the authority of the signatories to represent the applicant)	

¹ All capitalized terms shall have the meaning ascribed to them in the BondMatch Rule Book, as applicable and amended from time to time.

For Non-MiFID firms: <ul style="list-style-type: none"> ■ Evidence of authorisation indicating the permitted investment activities and financial instruments (where available) ■ Curriculum vitae of the two individuals who effectively direct the business (e.g. Chief Executive Officer and Managing Director) and their respective certificates stating an absence of criminal record 	
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3. DETAILS OF APPLICANT

Company's statutory name and legal form	
Commercial name (if different)	
Registered address	
Mailing address (if different)	
Contact name (for processing this application)	
Job title/position	
Telephone number (including extension)	
Email address	

4. TRADING AND CLEARING ACTIVITY

1. Please indicate the type of trading activity² you intend to perform on BondMatch :

PROPOSED ACTIVITY(IES)	(please tick ✓)
Dealing for own account (Dealer/Principal)	<input type="checkbox"/>
Execution of orders for third parties (Broker/Agency)	<input type="checkbox"/>

2. Please add the name of the LCH.Clearnet SA General Clearing Member(s) through which you intend to be cleared on BondMatch.

If you decide to clear your own business, please write "self" and we invite you to contact LCH.Clearnet SA to apply officially to BondMatch as Individual Clearing Member (ICM)

CLEARING HOUSE	NAME OF YOUR GENERAL CLEARING MEMBER(S) OR "SELF"
LCH.Clearnet SA	

² The proposed activity(ies) and authorisations of the applicant will determine the Membership capacity to be designated

5. REGULATION

Please provide details of the applicant's regulatory status (please tick ✓)

Credit Institution	<input type="checkbox"/>	Investment Firm	<input type="checkbox"/>
Asset Management Company	<input type="checkbox"/>	Pension institution	<input type="checkbox"/>
Insurance	<input type="checkbox"/>	Governmental and public institution	<input type="checkbox"/>
Other, please specify:			

Please confirm the name of the applicant'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)

Applicant firms should be aware that the AMF may contact their home state regulator to provide confirmation of the following:

- 1. jurisdiction over the market activities of the applicant*
- 2. non-opposition to the application and,*
- 3. readiness to share information with AMF and offer cooperation*

The AMF may request additional information from the applicant. The AMF may impose fees.

6. DISCIPLINARY HISTORY AND RELATED MATTERS

This question relates to the activities of not only the applicant (including relevant persons) itself, but also of other entities within the group, pertinent to its operation on BondMatch. The response should include events which the applicant considers material and which occurred in the last 5 years. If an applicant is uncertain about the materiality of a specific disciplinary proceeding or event, the matter should be disclosed.

Has the applicant or any other relevant parties within the group been:

1. found guilty in a criminal court
2. the subject of an adverse finding in a civil or administrative court or tribunal
3. in contravention of any provision of financial services legislation, rules, regulations or statements of principle
4. the subject of disciplinary procedures by any government agency, self-regulating organisation or exchange
5. subject to a refusal or restriction to carry on a trade/business/profession or to disqualification from acting as a director
6. under special investigation, or is it currently under special investigation, by any auditor, government agency, self-regulating organisation, exchange, taxation or other authority?

☐ YES ☐ NO

7. APPLICANT'S PROFILE

Is the applicant currently a member of any other futures and/or options, securities, or commodities exchange? If so, please provide details:

Member since (date)	Name of entity holding membership	Exchange	Membership capacity held

8. KEY CONTACTS

Pursuant to the BondMatch Rule Book, applicants are required to appoint at least one Authorised Representative and two Responsible Persons. Description of their role is available in Notice 2.01 available on Euronext website. Please fill out the relative registration forms that will be forwarded separately.

In addition, thanks to provide details of the key contacts involved in BondMatch trading activity:

Management of Trading

Full Name			
Telephone No		Fax No	
Email		Date of Birth	
Place of birth		Country of birth	

Compliance Officer

Full Name			
Telephone No		Fax No	
Email		Date of Birth	
Place of birth		Country of birth	

Back Office Manager

Full Name			
Telephone No		Fax No	
Email		Date of Birth	
Place of birth		Country of birth	

Billing contact who will receive the invoices

Full Name	
Position	
Telephone No	
Email	
Address (if different from page 3)	

9. DECLARATION OF APPLICANT

This Declaration and application for Membership of BondMatch is made by the applicant to Euronext Paris S.A. as operator of BondMatch (the applicant and Euronext Paris S.A. being collectively referred to as “the Parties”).

In consideration of (i) Euronext Paris S.A. examining and processing this application and (ii) the applicant co-operating with Euronext Paris S.A. and furnishing it with all the necessary information in support of this application, the Parties hereby agree that this Declaration shall be legally binding upon the Parties.

INTERPRETATION

The terms used in this Declaration shall have the meanings ascribed to them by the BondMatch Rules.

The masculine gender shall include the feminine and the singular number shall include the plural and vice versa.

ADMISSION AS A MEMBER

We understand that our Membership of BondMatch will not commence until (i) we have completed the application form to the satisfaction of Euronext Paris S.A. and have provided such additional information as is, and entered into such agreements as are, required by Euronext Paris S.A.; (ii) our application has been approved by Euronext Paris S.A.; and (iii) Euronext Paris S.A. has notified us of its decision in writing.

We understand that Membership or any trading or other privileges arising from such Membership may not be transferred, assigned or encumbered by or on behalf of the Member except with the prior written approval of Euronext Paris S.A. where such transfer, assignment or encumbrance is expressly provided for in the BondMatch Rules.

We agree to pay the fees and charges applicable to our Membership in accordance with the terms determined and published by Euronext Paris S.A..

We understand that in order to maintain our BondMatch Membership we must organise and control our affairs in a responsible manner in accordance with the BondMatch Rules, and to this end that we must have staff who are fit and proper with suitable authorizations/qualifications and experience in order to implement and maintain adequate internal procedures and controls.

The clauses of this Declaration shall apply only to the period up to our admission as a Member of BondMatch or the notification by Euronext Paris S.A. of the rejection of our application for Membership, as applicable, except for the clauses relating to Admission as a Member and Compliance with the BondMatch Rules, which shall continue for the period beyond that date in accordance with and without prejudice to the BondMatch Rules.

COMPLIANCE WITH THE BONDMATCH RULES

If we are approved as a Member of BondMatch, we agree to comply with and be bound by the BondMatch Rules which are then in force, as amended from time to time, and any obligations imposed by Euronext Paris S.A. pursuant to those Rules.

CONFIDENTIALITY OF DATA

We understand that any information provided by or on behalf of us during the application for Membership to BondMatch shall be kept confidential by Euronext Paris S.A. (whether or not our application is successful) and shall not be disclosed to any third party without our prior written approval except where permitted by the BondMatch Rules or required by applicable law or regulation.

DATA PROTECTION PROVISIONS

Notwithstanding the Confidentiality clause above, Euronext Paris S.A. is required to make public the names of Members. We thus acknowledge and agree that Euronext Paris S.A. shall publish by any appropriate means such information in respect of us.

The personal data collected in this form is required to allow you to operate business on BondMatch as a Member thereof. This data is intended for use by Euronext Paris S.A. and may, unless expressly indicated otherwise by you in writing, be communicated to any affiliated companies, including those located in the United States and other countries outside the European Economic Area. As data subject, you shall be entitled to have access to and to rectify the personal data relating to you, as well as, on legitimate grounds, to object to such processing. Exercise of the above described rights shall be done by contacting Euronext Paris S.A..

Euronext Paris S.A. may also use other information contained in the present Membership Application Form and Declaration for the purpose of marketing BondMatch³. We agree that Euronext Paris S.A. may quote our trade references, including our brands, to promote BondMatch.

Euronext Paris S.A. will not use Member's data otherwise than as described above, except if otherwise agreed between the Parties or upon prior consent of the Member.

SETTLEMENT OF DISPUTES AND GOVERNING LAW

We agree that any dispute between us as the applicant (or Member as the case may be) and Euronext Paris S.A. in respect of BondMatch membership issues or anything else under this Declaration and application for membership which is not resolved by an amicable settlement between the Parties shall be dealt with by the French courts applicable to Euronext Paris S.A. in accordance with French laws.

We understand that by choosing to submit this application form, we agree that our Euronext membership information will be shared with and used by Euronext Paris S.A. for the purpose of our application for, and eventual, BondMatch membership.

As part of the present BondMatch membership waiver process it is understood that we will be subject to the same IT conditions as those agreed as a Member of the Euronext Securities Markets.

We certify that the statements in our application for membership and in this Declaration are true and complete.

WILFUL FALSIFICATION, MISREPRESENTATION, OR OMISSION OF ANY MATERIAL FACT REQUIRED TO BE STATED CONSTITUTES CAUSE FOR DENIAL, SUSPENSION, OR REVOCATION OF MEMBERSHIP.

Company's Statutory Name		
Signature of the Representative authorised to sign on behalf of the Applicant by official resolution of the Board	Job title	Date
	Print full name	

³ The information used by BondMatch shall be subject to the privacy policy as detailed on the Euronext website.