

## EURONEXT BLOCK APPLICATION FOR RECOGNITION AS AN INTERMEDIARY

To: **Chief Operating Officer**  
Euronext London Limited  
10<sup>th</sup> Floor  
110 Cannon Street  
London  
EC4N 6EU  
E-mail: [euronextmembership@euronext.com](mailto:euronextmembership@euronext.com)

### Part 1

Name of member: \_\_\_\_\_

Member Code(s): \_\_\_\_\_

Address: \_\_\_\_\_

Telephone No: \_\_\_\_\_

Email address: \_\_\_\_\_

CREST Participant Code \_\_\_\_\_

**We hereby apply for recognition as an Intermediary and confirm that we:**

**(a) carry on a bona fide business of dealing in *Euronext Block* securities; and**

**(b) do not carry on an excluded business, as defined in section 88A of the Finance Act 1986, from time to time in force<sup>1</sup> (Please see the footnote below)**

Signed: \_\_\_\_\_  
(authorised signatory)

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

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**Part 2**

**PLEASE NOTE:**

***A Member without a UK presence must provide a UK address at which records can be inspected upon any enquiry from HM Revenue & Customs.***

**Accordingly, a Member without a UK presence must fill in the following section:**

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contact : \_\_\_\_\_

Telephone No: \_\_\_\_\_

Email Address: \_\_\_\_\_

[.....(name of member)]

hereby nominates the above named UK entity as its agent for the purpose of providing access to records of trading activity to HM Revenue & Customs as required to qualify for status of intermediary.

Signed \_\_\_\_\_  
(authorised signatory)

Name \_\_\_\_\_

[.....[name of UK entity]

hereby agree to act as agent for

[.....(name of member)]

for the purpose of providing access to records of trading activity to HM Revenue & Customs, as required under stamp duty legislation.

Signed \_\_\_\_\_  
(authorised signatory)

Name \_\_\_\_\_

<sup>1</sup>The excluded businesses are currently defined as –

- (a) any business which consists wholly or mainly in the making or managing of investments;
- (b) any business which consists wholly or mainly in, or is carried on wholly or mainly for the purpose of, providing services to persons who are connected with the person carrying on the business;
- (c) any business which consists in insurance business;
- (d) any business which consists in managing or acting as trustee in relation to a pension scheme or which is carried on by the manager or trustee of such a scheme in connection with or for the purposes of the scheme;
- (e) any business which consists in operating or acting as trustee in relation to a collective investment scheme or is carried on by the operator or trustee of such a scheme in connection with or for the purposes of the scheme.

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*For Official Use*

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Date: