

APPLICATION TO BECOME A CLEARING PARTICIPANT OF EUROPEAN CENTRAL COUNTERPARTY N.V.



Clearing Participant Information & Application Form

SECTION 1: GENERAL INFORMATION			
1.1 Applicants Full Legal Name			
1.2 Trading Name <small>(If different from above)</small>			
1.3 Country of Incorporation			
1.4 Company registration no./ Chamber of commerce no.			
1.5 Legal Entity Identifier (LEI)			
1.6 Applicant's BIC			
1.7 Registered Address			
City		State	
1.8 Alternate Business Address			
City		State	
1.9 Application in capacity of:		Direct Clearing Participant <input type="checkbox"/>	General Clearing Participant <input type="checkbox"/>
1.10 If General Clearing Participant please indicate the number of additional Trading Participant Accounts you wish			

SECTION 2: CONTACT INFORMATION			
2.1 Primary Contact Name for Application			
Title			
Phone		Email	
2.2 Secondary Contact Name			
Title			
Phone		Email	

SECTION 3: MARKET & PLATFORM SETUP INFORMATION

3.1 Which markets do you intend to clear.	<input type="checkbox"/> Austria	<input type="checkbox"/> Belgium	<input type="checkbox"/> Czech Republic	<input type="checkbox"/> Denmark
	<input type="checkbox"/> Germany	<input type="checkbox"/> Hungary	<input type="checkbox"/> Finland	<input type="checkbox"/> France
	<input type="checkbox"/> Ireland	<input type="checkbox"/> Italy	<input type="checkbox"/> Netherlands	<input type="checkbox"/> Norway
	<input type="checkbox"/> Poland	<input type="checkbox"/> Portugal	<input type="checkbox"/> Spain	<input type="checkbox"/> Sweden
	<input type="checkbox"/> Switzerland	<input type="checkbox"/> UK	<input type="checkbox"/> US	<input type="checkbox"/> Turkey
	<input type="checkbox"/> Euroclear Bank (DR)			
3.2 Which Exchanges or Platforms do you intend to clear	<input type="checkbox"/> Aquis Exchange	<input type="checkbox"/> Borsa Italiana	<input type="checkbox"/> Blockmatch	<input type="checkbox"/> Cboe
	<input type="checkbox"/> Deutsche Börse	<input type="checkbox"/> Equiduct	<input type="checkbox"/> Euronext London	<input type="checkbox"/> Euronext
	<input type="checkbox"/> Euronext Dublin	<input type="checkbox"/> Euronext Blocks	<input type="checkbox"/> London Stock Exchange	
	<input type="checkbox"/> Nasdaq First North	<input type="checkbox"/> Nasdaq Copenhagen	<input type="checkbox"/> Nasdaq Helsinki	<input type="checkbox"/> Nasdaq Stockholm
	<input type="checkbox"/> Sigma X	<input type="checkbox"/> Traiana	<input type="checkbox"/> Turquoise	<input type="checkbox"/> UBS MTF
	<input type="checkbox"/> SIX Swiss Exchange	<input type="checkbox"/> OsloBors	<input type="checkbox"/> Other	
3.3 T2S Member ?	YES <input type="checkbox"/> / NO <input type="checkbox"/>		3.4 Direct T2S account with?	
3.5 Please indicate any Agent relationships to be used for settlement purposes				

SECTION 4: REGULATION AND COMPLIANCE

4.1 Name of primary financial regulator/supervisory authority	
4.2 Regulator's location	
4.2 Your regulatory reference number	
Statement of Ultimate beneficial owner(s) (UBO) and Politically exposed person(s) (PEP)	
YES <input type="checkbox"/> / NO <input type="checkbox"/>	4.4 Do you have any beneficial owners.
YES <input type="checkbox"/> / NO <input type="checkbox"/>	4.5 Do you have any beneficial owners who are PEP's
YES <input type="checkbox"/> / NO <input type="checkbox"/>	4.6 We attach Statement of Ultimate beneficial owner(s) (UBO) and Politically exposed person(s) (PEP)
YES <input type="checkbox"/> / NO <input type="checkbox"/>	4.7 Group Entity or Multiple Shareholders
4.8 If you have answered yes to 4.4 or 4.5 please complete the below list of ultimate shareholders. This should include the Date of Birth and address of each UBO. UBOs that are PEPs should be identified on this list. Please use a separate page in necessary.	
Ultimate shareholders (list names of major shareholders with %'s)	

SECTION 5: SUPPORTING INFORMATION

Please provide the following documents to support you membership application.

5.1 Certificate of Incorporation	<input type="checkbox"/>
5.2 Articles of Association	<input type="checkbox"/>
5.3 Proof of regulated status	<input type="checkbox"/>
5.4 List of management	<input type="checkbox"/>
5.5 List of Authorised Signatures	<input type="checkbox"/>
5.6 Most recent audited annual report and accounts	<input type="checkbox"/>
5.7 Group family tree, organisational chart or shareholder structure.	<input type="checkbox"/>

Please note information in Section 5 will be requested annually as part of EuroCCPs client due diligence process. Please include documents along with this application form. Hardcopies can be send to: EuroCCP , Broadgate House, 1, Snowden Street, London EC2A 2DQ, UK

SIGN AND DATE

We apply to become a member of EuroCCP and confirm all supporting information is attached with this application.

Signature

Date

Title