

Account request (1)

- Request type
- ☐ New Account application
☐ Modification to existing Account
- Account type
- ☐ Reporting Participant
☐ Third Party Internal
☐ Third Party External
☐ Non-Reporting Entity

Your company

Full registered company name

LEI/BIC (2)

VAT number (3)

Registered office address (4)

Town/City

Postcode

Country

Central Coordinator: contact details (5)

Name of Central Coordinator

Address

Town/City

Postcode

Country

Telephone

Mobile

Corporate email

Central Coordinator: signature

Signature of Central Coordinator

IT Coordinator: contact details (6)

The IT Coordinator will be the first point of contact for REGIS-TR in the event of technical or operational issues. Note: the same person may act as both IT and Central Coordinator.

Name of IT Coordinator

Address

Town/City

Postcode

Country

Telephone

Mobile

Corporate email

Connectivity option

Please select an option for automated file transfers, if required. Note: All Clients receive the user credentials to enable the upload of files via web access.

☐ SFTP☐ SOAP Web Service
(Excluded for Non-reporting Account)

IP addresses for SFTP/SOAP (7) (8)

Outbound reports (9) (10)

Format of outbound reports

- ☐ XML
☐ CSV

End of Period Reports

Reporting Participant

Third Party Internal/External

Daily reports

- ☒ D501 - Trade Status
☒ D532 - Messages

Weekly reports

- ☒ W540 - Full Table Live Contracts

Monthly reports

- ☐ P454/P455 - Reporting and Maintenance Fee
☐ P456 - Billing Summary Report

Non-Reporting Entity

Daily reports

- ☒ D501 - Trade Status
☒ D532 - Messages

Weekly reports

- ☒ W540 - Full Table Live Contracts

Billing (11)

Name of the entity to be invoiced (12)

Email address of the invoice recipient

Name of contact person

Department/Job title

Address

Town/City

Postcode

Country

Billing family group (13)

If your company is part of a family group, please complete this section to identify the ultimate parent company of the group. This is not applicable for Third Party External Accounts. Please see the Fee Schedule for further information.

Full registered name of ultimate parent

Legal Entity Identifier (LEI)

Registered office address

Town/City

Postcode

Country

Corporate email

Production environment: user details

For more than two users, please provide Appendix 2 Annex 1 User modification form. (14)

User 1

Request type (15)

- ☐ Add new user
☐ Modify/update user details
☐ Cancel user

Full name (16)

Address

Town/City

Postcode

Country

Telephone

Mobile

Corporate email

User 2

Request type (15)

- ☐ Add new user
☐ Modify/update user details
☐ Cancel user

Full name (16)

Address

Town/City

Postcode

Country

Telephone

Mobile

Corporate email

Declaration concerning Central Coordinator

The Client acknowledges that the Central Coordinator is hereby empowered to duly and validly amend solely its details, the IT coordinator details, user contact details, payment details, connectivity channels, outbound report details and any other future details that may be added to the Central Coordinators' permissions.

*Authorised Signature*Name

Title

Date

*Authorised Signature*Name

Title

Date

Please print and sign this form and return it to:

REGIS-TR S.A.

Client Onboarding

Calle de la Tramontana, 2bis

E - 28231 Las Rozas de Madrid - Madrid

Spain

Or: <mailto:onboarding@regis-tr.com>

Notes to complete the application

General details

Note: We recommend that you fill in the form electronically to avoid typographical errors.

- (1) Please advise the action requested:
 - Select the account type.
 - A new application; or
 - A modification of any detail of an application form previously sent. In this case, please complete the general details and include the information to be modified.
- (2) Operational identification: Code or reference that identifies the Member in REGIS-TR. The Identification shall be the Legal Entity Identifier (LEI) or the BIC. Note: The identification provided here uniquely identifies the Member and will be used by its counterparties in order to identify it in the contracts communicated to REGIS-TR.
- (3) The holder of an account shall provide its VAT Number (Value Added Tax Number).
- (4) Registered Office details: Address, town/city, postcode, and country of the Member.

Central Coordinator details

- (5) The contact details (address, email address, telephone, and mobile numbers) for the person responsible for communication between the Member and REGIS-TR.

Reminder: Central Coordinator is hereby empowered to duly and validly amend solely its details the IT Coordinator details, User contact details, Payment details and the Connectivity Channels and Outbound Reports' details and any other future details that may be added to the Central Coordinators' permissions.

IT Coordinator details

- (6) The contact details (address, email address, telephone, and mobile numbers) for the person responsible for communication between the Member and REGIS-TR and for any technical or operational issues that may arise. It may be the same contact details as Central Coordinator.

Connectivity Channels

- (7) IP Address from which the Member will connect to the REGIS-TR database via the SOAP API platform. The Member must advise IP addresses to carry out the mentioned exchange. In order to do so, REGIS-TR will provide the Member with a unique username and a password per account.

Advise if the Member that opens the account will communicate with REGIS-TR via SFTP. If yes, the Member must advise the IP address(es) to carry out the mentioned exchange.
- (8) If the Member wishes to erase or modify an IP addresses already communicated or to add new IP addresses, an Annex 2 should be duly completed and signed by an authorised signature.

Outbound Reports

- (9) Choose the format in which you wish to receive the end of period reports outbound messages.

By default, all outbound messages will be sent out to the Members' Area of the REGIS-TR's website. The Intraday reports will be sent to the Member in the same format as the inbound message.
- (10) By default, the Member will receive the following end of period reports:
 - **D501** - Trade status: This report will be generated at the end of the day. It will provide the latest status of all trades that have been reported, modified, or terminated on the day in which the report is generated. The report will contain all the trade details as recorded in the system. In cases where the status changes to "TERM" or "MATU" by reaching the termination or maturity date, the trades will be included in the reports generated on T+1.
 - **D532** - Messages: Includes all the inbound messages (new trades, modifications, valuation updates, and terminations) related to the Member's trades/positions. It will be generated on a daily basis.

FINFRAG Appendix 2 - Application form

- **W540** - Full Table of Live Contracts: For each account, it includes all the active trades. All trade/positions details will be listed. It will be sent on a weekly and monthly basis.

Please select the End of Period reports that **you wish** to receive:

- **P454/P455** - Reporting and Maintenance Fee: Provides the list of Trade IDs that incurred a reporting and maintenance fee for the account receiving the report.
- **P456** - Billing Summary Report: This report will include a summary of the fees applied to the account that receives the report.

Payment details

- (11) The contact details for the entity and person responsible for the invoices (address, e-mail address of the electronic invoice recipient). It may be the same as the contact person referred to in item (5).
- (12) The bank account holder's name must be advised.

Family Group

- (13) REGIS-TR must be advised if you are part of an existing family group, so that the fee cap as per our fee schedule may be applied. Proof of the family group status must be provided (for example annual report). Family groups commonly include the parent company, and all other affiliates, that are at least 50% owned and directly or indirectly controlled by the parent.

User Contact details

- (14) If the Member wishes to remove or modify an existing user or to add more than two users, an Appendix 2 Annex 1: User modification form, should be duly completed and signed by an authorised signature.
 - (15) Please advise the following:
 - i. Add new user: to register new users
 - ii. Modify/update user details: to amend details of already registered users
 - iii. Cancel user: to cancel users of the account that will remain active
 - (16) Name and surname of the user (physical person) to whom a username and password will be assigned, in order to access the Members' Area of the REGIS-TR's website.
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Documents to be attached

Please return the following documents to REGIS-TR:

- | | | |
|----|--|----------|
| 1. | This Application duly signed | Original |
| 2. | The Agreement with REGIS-TR duly signed | Original |

If the Member is **NOT an existing Member** of REGIS-TR the following must also be returned:

- | | | |
|----|---|----------|
| 3. | The Appendix 5 SEPA Core Direct Debit Scheme, if relevant. | Original |
| 4. | The Articles of Association and, if the articles are not available in English or Spanish, a legal translation in the above-mentioned languages (together with the original language). | Copy |
| 5. | The Banking or Business Licence if applicable (to operate as a regulated institution under Luxembourg law or any equivalent category under the customer's national law); and, if the license is not available in English or Spanish, a legal translation in the above-mentioned languages (together with the original language). | Copy |
| 6. | The Excerpt from the company's register including certificate of residency; and, if the excerpt is not available in English, or Spanish, a legal translation in the above-mentioned languages (together with the original language); and | Copy |
| 7. | An up-to-date official list of authorised signatures ; and, if the list is not available in English or Spanish, a legal translation in the above-mentioned languages (together with the original language). | Copy |

If you make any amendments in the future to the above listed documentation, or if any document expires, please send the updated documents to REGIS-TR as soon as they become available.

We agree that REGIS-TR may request additional information in relation to our institution as may be required from time to time under the applicable money laundering rules.

Checklist of information required

For verification purposes, the authorised signature list must include the following information:

- i. Exact name of the institution and its country of operation.
- ii. Name(s) of the signatories and their position or category.
- iii. Specimen signatures of the signatories.
- iv. Date of validity of the list of authorised signatures.
- v. Rules of signature.
- vi. Copy of valid passport where name, surname, validity date and signature (for each authorised signatory) is visible, if applicable. The other data can be blackened.

General standards

REGIS-TR respectfully reminds the Member to provide written notification of deletions or modifications to signatures without delay, in accordance with Article 16.3 of REGIS-TR's General Terms and Conditions.

For compliance reasons, there are particular authentication requirements for authorised signature lists/updates that are issued including specimen signature forms:

- All pages must be numbered, dated, and signed by a company director or other officer (two if acting jointly) authorised to appoint signatories.

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- Adequate proof of this authority must be attached, for example, an extract of the board resolution, or any resolution of the competent corporate body of the company, appointing the said director(s) or officer(s), and it must be clear that they are entitled to appoint signatories.

Further information

REGIS-TR Client Service team: +34 91 709 55 70