

De Nederlandsche Bank (DNB) will record the data supplied on the basis of this application form in a personal data processing system within the meaning of the Personal Data Protection Act (*Wet bescherming persoonsgegevens / Wbpg*). The Dutch Data Protection Authority (*College Bescherming Persoonsgegevens*) has been notified of the processing of personal data. The notification form is available for inspection at DNB.

We always exercise due care in handling your data. We may exchange your data with third parties only if it is permitted by law; for example with supervisors and criminal authorities in the Netherlands or abroad.

You must of your own volition and without delay inform DNB of any change in circumstances that would cause you to have answered the questions below differently.

Please indicate on the form which documents you are adding to it by ticking the boxes against the relevant questions.

**1 Data as referred to in Section 6(1), under a, FSA Decree on Market Access of Financial Corporations**

Name of clearing institution

Address of clearing institution

Postal address of clearing institution

Telephone number

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Fax number

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**2 Data as referred to in Section 6(1), under b, FSA Decree on Market Access of Financial Corporations**

Legal form of clearing institution

**3 Data as referred to in Section 6(1), under c, FSA Decree on Market Access of Financial Corporations**

Name of clearing institution according to articles of association

Registered office of clearing institution

Trading name(s) of clearing institution

**4 Data as referred to in Section 6(1), under d, FSA Decree on Market Access of Financial Corporations**

Registration number in the Trade Register of the Chamber of Commerce

**5 Data as referred to in Section 6(1), under e, FSA Decree on Market Access of Financial Corporations**

Address of branch

Postal address of branch

Telephone number of branch

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Fax number of branch

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**6 Data as referred to in Section 6(1), under f, FSA Decree on Market Access of Financial Corporations**

A certified copy of the clearing institution's articles of association\*

attached as appendix A

\* If the original documents were not drawn up in Dutch or English, please also submit a certified translation into one of these languages.

**7 Data as referred to in Section 6(1), under g, FSA Decree on Market Access of Financial Corporations**

List of activities that the clearing institution’s branch will carry on.

*attached as appendix B*

**8 Data as referred to in Sections 6(1), under h and 6(1), under I, FSA Decree on Market Access of Financial Corporations**

a Completed and signed Prospective appointment notification forms and Integrity test forms each of the persons who determine or co-determine the policy of the clearing institution’s branch, (i.e. managing directors and other policy makers), to the extent applicable together with completed and signed Integrity test forms with the requested enclosures\*\*

Names of persons (last name, initial(s)):

.....  
.....  
.....  
.....

Number of Prospective appointment notification forms included:

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Number of Integrity test forms included:

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*attached as appendix C1*

b Completed and signed Prospective appointment notification forms of each of the persons who form part of a body within the clearing institution’s branch that is entrusted with the supervision of the policies and general course of events of the clearing institution’s branch (such as supervisory directors), to the extent applicable together with completed and signed Integrity test forms with the requested enclosures\*\*

Names of persons (last name, initial(s)):

.....  
.....  
.....  
.....

Number of Prospective appointment notification forms included:

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Number of Integrity test forms included:

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*attached as appendix C2*

**9 Data as referred to in Section 6(1), under j, FSA Decree on Market Access of Financial Corporations**

A description of the proposed policies to secure sound operations of the branch, as referred to in Sections 3:10.1 and 3:10.2, FSA

*attached as appendix D*

**10 Data as referred to in Section 6(1), under k, FSA Decree on Market Access of Financial Corporations**

A description of the organisation of the operations to secure controlled and sound operations of the branch, as referred to in Section 3:17.1, FSA

*attached as appendix E*

\*\* The integrity test form is only applicable for persons who have not yet been tested for integrity. You can download the integrity test forms and the prospective appointment notification form from our website ([www.dnb.nl](http://www.dnb.nl))

**11 Data as referred to in Section 6(1), under I, FSA Decree on Market Access of Financial Corporations**

Documents from which the clearing institution's own funds, as referred to in Sections 3:53(1) and 3:53(3), FSA, the clearing institution's expected solvency, as referred to in Sections 3:57(1) and 3:57(2), FSA, and the clearing institution's expected liquidity, as referred to in Section 3:63(1), FSA, are apparent

*attached as appendix F*

**12 Administrative charges**

Contact information of the person to whom the invoice for handling this application should be addressed:

Name of contact person

Name of legal entity

Postal address

**13 Signature by the authorised representative(s)**

The undersigned declare(s) to have taken note of the aforementioned information about the processing of personal data in conformity with the provisions of the Wbp and the obligation to notify any changes in the answers to the questions asked.

The undersigned declare(s) to have filled in this questionnaire and the appendix(-ices) fully and truthfully.

Date

Place

Name and position

Date

Place

Name and position

Signature

Signature

Please send the completed and signed form, with any appendices, to:  
De Nederlandsche Bank, Expertisecentrum Markttoetreding, Postbus 98, 1000 AB Amsterdam.  
If you have any questions, please contact DNB's Information Desk on 0800 - 020 10 68  
or send an e-mail to [info@dnb.nl](mailto:info@dnb.nl).  
From outside the Netherlands please call +31 20 524 91 11.