

Applicant/Participant details:

Company (name):

Registered address:

Contact person:

Full name:

Telephone:

Email:

Receiver:

Krajowy Depozyt

Papierów Wartościowych S.A.

Application for conclusion of a participation agreement to obtain the status of trade repository participant for securities financing transactions

I. We hereby submit our application to obtain the status of trade repository participant with the participant type of:
/one type of participation may be selected/

Reporting participant

Non-reporting participant

II. We hereby declare that: */select the relevant option/*

1) If the application relates to being accorded the status of **reporting participant**, we hereby apply for receipt of the following reporting profiles:

own – where the reports relate to transactions and events to which the participant is a party,
or

own extended – where the reports relate to:

- a) transactions and events to which the participant is a party, and
- b) transactions and events that the participant is obliged by law to report to the trade repository, and
- c) transactions and events reported on behalf of an entity from the capital group to which the participant belongs, and
- d) transactions and events reported on behalf of clients being counterparties to such transactions, or

general – where the reports relate to transactions and events to which the participant is a party, or transactions and events reported on behalf of any other counterparty.

If the application relates to being accorded the status of reporting participant within the reporting profile of own extended, we hereby declare that we will report low volumes of transactions, (which will incur fees being charged at the rate described in Section II of the Table of Fees – Appendix 1 to the Trade repository rules for securities financing transactions)

2) If the application relates to being accorded the status of **non-reporting participant**, we hereby apply for receipt of the following data access categories:

own – where the data relate to transactions and events to which the participant is a party, or

own extended – where the data relate to transactions or events, to which the participant is a party, or transactions or events reported to the trade repository at the request of that participant, in order for that participant to meet its legal obligations.

III. We hereby declare that we have read and understand the Trade repository rules for securities financing transactions and information on how to exercise our participation rights, as posted on the KDPW website, and we agree to comply with them.

IV. We agree to report in accordance with the requirements for the scope, time limits and format of data reported to the trade repository as set out in the applicable legislation and documents published by ESMA pursuant to such legislation.

V. We declare that within the meaning of the Council Implementing Regulation (EU) No 282/2011 of 15 March 2011 laying down implementing measures for Directive 2006/112/EC on the common system of value added tax (Official Journal L 77 of 23 March 2011, as amended), we have a place of establishment/fixed establishment¹ for which the service is purchased on the territory of:
/enter country of tax jurisdiction for the purchased service/

VI. We declare that for the purposes of value added tax the Applicant has been assigned a tax identification number:

VII. We declare that that we hold LEI:

VIII. We hereby declare that:

the conclusion of a participation agreement will involve the transfer of data on open SFTs submitted by us to another trade repository; we therefore enclose a list of LEIs belonging to counterparties, whose SFT data is to be submitted.

IX. We declare that we hold counterparty status within the meaning of Regulation (EU) 2015/2365 of the European Parliament and of the Council of 25 November 2015 on transparency of securities financing transactions and of re-use and amending Regulation (EU) No 648/2012 of the European Parliament and of the Council: /select the relevant option/

Financial Counterparty

Non-Financial Counterparty

CSD

CCP

fund

other

X. We declare that in relation to the persons whose personal data has been included in the content of this form, the obligations required by law have been fulfilled, including the information clause concerning the manner in which the KDPW processes personal data has been provided to such persons.

XI. We declare that:

the documents attached hereto will be sent to KDPW by email by /full name/

from the email address:

to the email address sftr@kdpw.pl

¹ within the meaning of Council Implementing Regulation (EU) No 282/2011 of 15 March 2011 laying down implementing measures for Directive 2006/112/EC on the common system of value added tax

Enclosures: /select as appropriate/

an extract from the relevant register or, if the applicant is not required to be entered in the relevant register, an extract from the register of economic activities or any other document that identifies the applicant;

copies of powers of attorney and specimen signatures of the applicant's duly authorised representatives if the right to represent the applicant does not derive from the document referred to in point 1

If the declaration referred to in point XI has not been submitted, the attachments must be sent to KDPW's mailing address.

/handwritten signature or qualified electronic signature of the applicant's
duly authorised representative/

/full name or name stamp/

/handwritten signature or qualified electronic signature of the applicant's
duly authorised representative/

/full name or name stamp/

The application must be submitted in writing (a hand-signed original) to KDPW's mailing address or in electronic form (a pdf document with qualified electronic signatures) to the following email address: sftr@kdpw.pl