



DSi Participant Registration Form

Financial institution

Company name: _____

Statutory Name: _____

Address

Street name & number: _____

Post code: _____

City: _____

Billing address

Street name & number: _____

Post code: _____

City: _____

E-mail: _____

Director

M F

Last name: _____

Initials: _____

Telephone number: _____

E-mail: _____

Position: _____

Contact person¹

M F

Last name: _____

Initials: _____

Telephone number: _____

E-mail: _____

Position: _____

1) The contact person must be employed as a Member of the Board, Compliance Officer or HRM Assistant.



Billing

In January of each calendar year you will receive an invoice for the company's participation, and once per quarter you will receive an invoice for the certifications.

Membership in branch association

Which branch association or professional association is your institution a member, or which association(s) does your institution consider to act as its representative?

- Nederlandse Vereniging van Banken (Dutch Banking Association)
- Association of Proprietary Traders (APT)
- Vereniging van Vermogensbeheerders en Adviseurs (Association of Asset Managers and Consultants)
- Verbond van Verzekeraars (Dutch Association of Insurers)
- Pensioenfederatie (Pension Federation)
- Dutch Fund and Asset Management Association (Dufas)
- Euronext
- Other, specify:.....

License requirements

Please place an X next to item 1 (License Holder) or item 2 (Other participants) to indicate which applies to your situation.

1. License Holder

Every financial enterprise (hereafter: enterprise) that wishes to be registered with DSI as a participant must, in accordance with the DSI Statutes and Regulations, be in possession of a license as stipulated by the Financial Supervision Act (hereafter: Wft).

Your enterprise is in the possession of a license on the grounds of:

- Articles 2.11 or 2.16 Wft (operations as a bank and financial institution)
- Articles 2.27 or 2.36 Wft (operations as a life insurance and liability insurance provider)
- Article 2.96 Wft (provision of investment services)
- Articles 2.11 or 2.16 Wft (operations as an insurer with limited liability)
- Article 2.65 Wft (providing participation rights in investment institutions and ICBEs)
- Article 2.75 Wft (consulting)
- Article 2:80 Wft (acting as an intermediary) specifically involving mediating in combined products with an investment element
- Article 2.4 Wft (operations as a clearing institution)
- Article 2 Act on the Supervision of Trust Offices (providing trust-related services)



2. Other participants (if not a license holder under item 1)

Financial enterprises that have access to the Netherlands' financial markets via notification or a European passport, as well as pension funds and other institutional investors, may be registered as a DSI Participant. Organisations that are not obliged to be licensed in accordance with the Wft, but which provide a certain service to financial enterprises (such as providing personnel services), may become an Associated Participant under certain circumstances.

Your organisation is:

- a financial enterprise with its statutory address in another EU/EEA member state, which has access to the Netherlands' financial markets via notification with your supervisory authority or a European passport (such as banks, investment firms, insurers, investment institutions, financial service providers)
- a pension fund that meets the requirements stipulated by the Pension Act.
- not obliged to have a license in accordance with the Wft, but provides personnel on a temporary or contract basis to financial enterprises that are DSI Participants. You meet the following requirements:
 - ✓ You have references from two DSI participants.
 - ✓ Your organisation has an incident reporting procedure stating that you report relevant incidents to DSI.
 - ✓ You agree to the periodic submission of a certifying statement (for example by an accountant) regarding the enforcement and compliance with the incident reporting procedure.

You must submit the following documents: copies of references, incident reporting procedure, and a statement that you agree to submit a certifying statement on an annual basis.

Additional documents

We ask that you submit at least the following documents along with this form:

- ✓ A certified copy of a Chamber of Commerce extract (less than one year old). If the Chamber of Commerce extract lists another company as a director and/or shareholder (legal entity), then an online extract for that legal entity must be included as well.
- ✓ A copy of a licensing decree issued by AFM or DNB.

Please sign this Registration Form and send it via e-mail to: certificering@dsi.nl or by post to:

DSI
Afdeling
Certificering Postbus
3861
1001 AR Amsterdam

If you have any further questions, please contact the Certification relations manager at tel.: (020) 530 98 68.



Signature

This form must be signed by a director of a financial enterprise that has access to the Netherlands' financial markets as stipulated in Section 2.2 of the Financial Supervision Act, or the director of a pension fund or other institutional investor.

The undersigned hereby declares that the questions in this form have been answered accurately and truthfully, and that the enterprise referred to in this form complies with the DSI Code of Conduct and the procedures and verdicts of the Arbitration Committee and Appeals Committee, and is registering as a Participant.

City:

Date:

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Director name:

Director signature:

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