

# ITALIAN FTT EQUITIES PROTOCOL

## Form of Adherence Letter

**FAO The Tax Division  
Association for Financial Markets in Europe  
Level 10  
20 Churchill Place  
London  
E14 5HJ  
United Kingdom**

16<sup>th</sup> November 2023

Dear Sir/Madam

### **AFME Italian Financial Transactions Tax Equities Protocol – Adherence Letter**

#### **1. ADHERENCE**

The purpose of this letter is to declare our adherence and that of each other party whose name is listed in paragraph 2 below (for whom we act as agent for the purposes of this Adherence Letter) (each a ***Group Adhering Party***), to the AFME Italian Financial Transactions Tax Equities Protocol (the ***Protocol***).

By executing this letter, on our behalf and on behalf of each Group Adhering Party, we make the representations set out in section **¡Error! No se encuentra el origen de la referencia.** of the Protocol and confirm our intention to be bound by the terms of the Protocol as amended from time to time. We represent and warrant that we are authorised to submit this letter on behalf of each Group Adhering Party. This letter constitutes an Adherence Letter as referred to in the Protocol.

The definitions and provisions contained in the Protocol are incorporated into this Adherence Letter.

#### **2. CORPORATE GROUP PARTIES TO WHOM THIS ADHERENCE LETTER APPLIES**

CaixaBank, S.A.  
BIC code: CAIXESBBX.XX  
Euroclear number: 20690  
Legal Entity Identifier (LEI): 7CUNS533WID6K7DGF187  
Tax ID (NIF)/ VAT number: A08663619  
Special Administrative Register of the Bank of Spain Number: 2100

CaixaBank, S.A., Succursale in Italia  
BIC Code: CAIXITMM  
Euroclear Number: (we have not it)  
Legal Entity Identifier (LEI): 815600C05FEE606C6309  
Tax ID: 12470480968  
Registration Number in the Register of Banks of the Bank of Italy: 3668

Each party listed above shall be a separate Adhering Party.

We hereby confirm that each Adhering Party listed above deals on its own account and is duly licensed for dealing on own account and/or it executes orders on behalf of clients and is duly licensed for the execution of orders on behalf of clients.

We provide a link to the relevant regulator's register of investment service providers to confirm our accreditation.

Bank of Spain:

[https://www.bde.es/bde/en/secciones/servicios/Particulares\\_y\\_e/Registros\\_de\\_Ent/](https://www.bde.es/bde/en/secciones/servicios/Particulares_y_e/Registros_de_Ent/)

Spanish National Securities Market Regulator (*Comisión Nacional del Mercado de Valores* or CNMV):

<https://www.cnmv.es/Portal/Consultas/ListadoEntidad.aspx?id=l&tipoent=>

With reference to the Adhering Party “CaixaBank, S.A., Succursale in Italia”, the link to the relevant regulator's register of investment service providers to confirm our accreditation is the following:

Bank of Italy: <https://www.bancaditalia.it/compiti/vigilanza/albi-elenchi/>

### **3. APPOINTMENT AS ADMINISTRATOR AND RELEASE**

We (on our own behalf and as agent for all Adhering Parties listed above) hereby appoint AFME as administrator for the limited purposes of the Protocol and accordingly we waive, and hereby release AFME from, any rights, claims, actions or causes of action whatsoever (whether in contract, tort or otherwise) arising out of or in any way relating to this Adherence Letter or our adherence to the Protocol or any actions contemplated as being required by AFME.

### **4. CONTACT DETAILS**

Our contact details for the purposes of the Protocol are:

Name: CAIXABANK, S.A.

FAO: Markets — Equity

Josep Manel Varela — Markets Managing Director

Valentín Orús — Equity Managing Director

Address: Paseo de la Castellana, 189

28046 Madrid (Spain)  
Telephone: +34 91 412 1002; +34 609 529 162  
[E-mail: jmvarela@caixabank.com](mailto:jmvarela@caixabank.com); [vorus@caixabank.com](mailto:vorus@caixabank.com)

CaixaBank, S.A., Succursale in Italia  
BIC Code: CAIXITMM  
Euroclear Number: (we have not it)  
Legal Entity Identifier (LEI): 815600C05FEE606C6309  
Tax ID: 12470480968  
Registration Number in the Register of Banks of the Bank of Italy: 3668

Our contact details for receipt of invoices for Adherence Fees are:

Organization:

Name: CAIXABANK, S.A.  
Registered office and tax address: Calle Pintor Sorolla, 2-4  
City: Valencia  
Post Code: 46002  
Country: Spain  
VAT Number: A08663619

Invoice Contact

Name: CAIXABANK, S.A.  
FAO: Valentín Orús — Equity Managing Director  
Address: Paseo de la Castellana, 51 — Planta 3  
28046 Madrid (Spain)  
Telephone: +34 609 529 162  
[E-mail: vorus@caixabank.com](mailto:vorus@caixabank.com)

We undertake to notify AFME of any changes to these details at any time throughout our adherence to the Protocol, by sending a manually or electronically signed notice to AFME at [fitprotocol@afme.eu](mailto:fitprotocol@afme.eu).

We agree to the publication by AFME of the conformed copy of any such notice.

**6. AGENT FOR SERVICE OF PROCESS**

We have appointed CaixaBank S.A., United Kingdom Branch at 8th floor, 63 St Mary Axe, EC3A 8AA, London as our agent for service of process and any other documents in proceedings in England. We agree that we will at all times while we remain an Adhering Party to the Protocol maintain an agent for service of process and any other documents in proceedings in England. Any claim form, judgment or other notice of legal process will be sufficiently served on us if delivered to such agent at its address

for the time being. We undertake not to revoke the authority of the above agent without giving prior notification to the AFME of a replacement agent.

We consent to the publication of the conformed copy of this letter by AFME and to the disclosure by AFME of the contents of this letter.

Yours faithfully

Name: Valentín Orús  
Title: Equity Managing Director  
CaixaBank, S.A.

Name: Claudina Farré Cases  
Title: Country Manager/Legal Representative  
CaixaBank, S.A., Succursale in Italia