



**FAO The Tax Division  
Association for Financial Markets in Europe  
39<sup>th</sup> Floor  
25 Canada Square  
London  
E14 5LQ  
United Kingdom**

March 22, 2021

Dear Sirs

**AFME Spanish Financial Transactions Tax 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 Spanish Financial Transactions Tax 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 article 6 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. PARTIES TO WHOM THIS ADHERENCE LETTER APPLIES**

**Cantor Fitzgerald & Company**

BIC code: CANFUS33XXX

US Tax ID: 13-3680184

CFTC: 5288

DTC ID: 0696

SEC number: 8-201

Legal Entity Identifier (LEI): 5493004J7H4GCPG6OB62

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 are providing the link to the relevant regulator's register of investment service providers to confirm our accreditation.

[HTTPS://FILES.BROKERCHECK.FINRA.ORG/FIRM/FIRM\\_134.PDF](https://files.brokercheck.finra.org/firm/firm_134.pdf)



FINRA Firm\_134.pdf

### **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: Cantor Fitzgerald & Company  
FAO: Cynthia Khan, Global Head of Tax  
Address: 110 East 59<sup>th</sup> Street, 3<sup>rd</sup> Floor, New York, NY, 10022-1304  
Telephone: +1 212-294-7891  
Fax: +1 917-620-0657  
E-mail: [ckhan@cantor.com](mailto:ckhan@cantor.com)

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

Name: Cantor Fitzgerald & Company  
FAO: Michael Ouellette, COO Markets  
Address: 110 East 59<sup>th</sup> Street, 4<sup>th</sup> Floor, New York, NY, 10022-1304  
Telephone: +1 212-610-2276  
E-mail: [Michael.ouellette@cantor.com](mailto:Michael.ouellette@cantor.com)

Invoice Contact (if different from contact details above):

Name: Joyce Chen  
FAO: AP Team  
Address: 110 East 59<sup>th</sup> Street, New York, NY, 10022-1304  
Telephone: +1 212-829-5293  
E-mail: [usinvoices@cantor.com](mailto:usinvoices@cantor.com), [joyce.chen@cantor.com](mailto:joyce.chen@cantor.com)

We undertake to notify AFME of any changes to these details at any time throughout our adherence to the Protocol, by either:

- (a) delivering to AFME by (i) certified or registered mail (or airmail, if overseas) or equivalent; (ii) courier; or (iii) personal delivery to AFME's address set out in this Adherence Letter, two copies of such notice: one a manually signed original and the other a conformed copy containing, in place of each signature, the printed or typewritten name of each signatory; and we will also send scanned pdf copies of the manually signed original and conformed copies of the notice of change of details to AFME at [fttprotocol@afme.eu](mailto:fttprotocol@afme.eu) ; or
- (b) sending to AFME at [fttprotocol@afme.eu](mailto:fttprotocol@afme.eu) an electronically signed original and a conformed copy of such notice.

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

Where this letter applies to a Corporate Group Party, we acknowledge that we will be the Primary Group Adhering Party for the purposes of the Protocol.

Yours faithfully

Signed By: Cynthia Khan

Name: Cynthia Khan

Title: Global Head of Tax, Managing Director