



TP ICAP Markets Limited

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FAO The Tax Division
Association for Financial Markets in Europe
39th Floor
25 Canada Square
London
E14 5LQ
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4 November 2021

Dear Sirs

AFME Spanish Financial Transactions Tax Protocol – Revised 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. CORPORATE GROUP PARTIES TO WHOM THIS ADHERENCE LETTER APPLIES

Liquidnet Asia Limited, BIC: LIQAHKH1

Liquidnet Australia Pty Limited, BIC: LIAPAU21

Liquidnet Canada Inc., BIC: LICDCAT1

Liquidnet EU Limited, BIC: LIQIIE21

Liquidnet Europe Limited, BIC: LNELGB21

Liquidnet Inc., BIC: LIQUUS31

Liquidnet Japan Inc., BIC: LIQJJP1

TP ICAP Markets Limited (formerly ICAP Securities Limited), FCA: 124520, LEI: 213800NMEZS3MD2IUP33

Tullett Prebon (Europe) Limited, FCA: 146880, BIC: TPEUGB2L

Tullett Prebon (Securities) Limited, FCA: 154234, LEI: 549300BMVW85YF9FGN67

TP ICAP (Europe) SA, BIC: ICEOFRP1XXX, LEI: 213800R54EFFINMY1P02

Louis Capital Markets UK LLP, FCA: 225544, LEI: 213800KL2QZT2GQMQQ34

ICAP Corporates LLC, FINRA CRD# 2762, LEI: 78E0W5ARMBFSS8K1Y274

Tullett Prebon Financial Services LLC, FINRA CRD# 28196, LEI: 5493002MIGPVI71S2611

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:

Liquidnet Asia Limited

[HKSFCA - Public Register of Licensed Persons and Registered Institutions](#)

Liquidnet Australia Pty Limited

[View Details - Organisations and Business Names \(asic.gov.au\)](#)

Liquidnet Canada Inc.

[Liquidnet Canada Inc. | IIROC](#)

Liquidnet EU Limited

[Financial Service Provider Profile \(centralbank.ie\)](#)

Liquidnet Europe Limited
[Liquidnet Europe Limited \(fca.org.uk\)](https://www.fca.org.uk/publications/liquidnet-europe-limited)

Liquidnet Inc.
[EDGAR Search Results \(sec.gov\)](https://www.sec.gov/edgar/search/liquidnet-inc)

Liquidnet Japan Inc.
[fibo.pdf \(fsa.go.jp\)](https://www.fsa.go.jp/bo/pdf)

TP ICAP Markets Limited:
[TP ICAP Markets Limited \(fca.org.uk\)](https://www.fca.org.uk/publications/tp-icap-markets-limited)

Tullett Prebon (Europe) Limited:
[Tullett Prebon \(Europe\) Limited \(fca.org.uk\)](https://www.fca.org.uk/publications/tullett-prebon-europe-limited)

Tullett Prebon (Securities) Limited:
[Tullett Prebon \(Securities\) Limited \(fca.org.uk\)](https://www.fca.org.uk/publications/tullett-prebon-securities-limited)

TP ICAP (Europe) SA:
[Fiche agent financier - REGAFI - Registre des agents financiers](https://www.regafi.fr/agent-financier-tp-icap-europe-sa)

Louis Capital Markets UK LLP:
[Louis Capital Markets UK LLP \(fca.org.uk\)](https://www.fca.org.uk/publications/louis-capital-markets-uk-llp)

ICAP Corporates LLC:
[ICAP CORPORATES LLC - BrokerCheck \(finra.org\)](https://www.finra.org/brokercheck/icap-corporates-llc)

Tullett Prebon Financial Services LLC:
[TULLETT PREBON FINANCIAL SERVICES LLC - BrokerCheck \(finra.org\)](https://www.finra.org/brokercheck/tullett-prebon-financial-services-llc)

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: Paul McQuillan
FAO: Head of Operations, EMEA
Address: TP ICAP, 135 Bishopsgate, London, EC2M 3TP

Telephone: +44 (0) 207 302 5314
E-mail: paul.mcquillan@tpicap.com

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

Organisation:

Name: TP ICAP Markets Limited, C/- Paul McQuillan, Head of Operations, EMEA
Billing Address: 135 Bishopsgate
City: London
Post Code: EC2M 3TP
Country: UNITED KINGDOM
VAT Number: GB244850654

Invoice Contact:

Name: Paul McQuillan
FAO: Head of Operations, EMEA
Address: TP ICAP, 135 Bishopsgate, London, EC2M 3TP
Telephone: +44 (0) 207 302 5314
E-mail: paul.mcquillan@tpicap.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; or
- (b) sending to AFME at 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.

5. AGENT FOR SERVICE OF PROCESS

We have appointed TP ICAP Group Services Limited, 135 Bishopsgate, London, EC2M 3TP as our agent for service of process and any other documents in proceedings in England. We each 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 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

For and on behalf of TP ICAP Markets Limited

Signed by: PAUL MCQUILLAN
Name: Paul McQuillan
Title: Head of Operations, EMEA