

## **ADHERENCE LETTER FOR SPANISH FTT PROTOCOL**

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

### **AFME Spanish Financial Transactions Tax Protocol – Adherence Letter**

May 5, 2023

Dear Sir/Madam:

#### **1. ADHERENCE**

The purpose of this letter is to declare our adherence to the AFME Spanish Financial Transactions Tax Protocol (the *Protocol*).

By executing this Adherence Letter, 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. 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. PARTY TO WHOM THIS ADHERENCE LETTER APPLIES**

##### **UBS Securities LLC**

- SEC Number: 8-22651
- FINRA CRD Number: 7654
- DTC Number: 0642
- LEI Number: T6FIZBDPKLYJKFCRVK44

Such party listed above is an Adhering Party.

We hereby confirm that the 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 FINRA register of investment service providers to confirm our accreditation in the United States as a broker-dealer registered with the United States Securities and Exchange Commission (SEC), FINRA, and various other self-regulatory organizations: <https://brokercheck.finra.org/firm/summary/7654>

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

We 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: Mr. Brian Peters  
FAO: UBS Securities LLC  
Address: 1285 Avenue of the Americas  
Telephone: 212-713-7904  
E-mail: brian-k.peters@ubs.com

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

#### Organisation:

Name: Mr. Bill Giliberti  
Billing Address: 315 Deaderick Street  
City: Nashville  
Post Code: 37238  
Country: USA  
VAT Number:

#### Invoice Contact (if different from contact details above):

Name: UBS Securities LLC  
FAO: COD\_VC\_NWM  
Address:  
Telephone:  
Fax:  
E-mail: SH-AP-Invoices@ubs.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.

## **5. AGENT FOR SERVICE OF PROCESS**

We have appointed:

UBS Investment Bank Legal Department  
**Attn:** EMEA Regional Head of Global Markets Legal  
UBS AG London Branch  
5 Broadgate  
London  
EC2M 2QS  
United Kingdom

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 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

**UBS SECURITIES LLC**

Signed by: \_\_\_\_\_

Name: Derek Capanna  
Title: Managing Director

\_\_\_\_\_  
Name: Joshua Hershman  
Title: Managing Director