

TISE

The International Stock Exchange

CATEGORY 3 TRADING MEMBER

Application Form

Dublin. Guernsey. Isle of Man. Jersey. London.

tisegroup.com

Introduction and Part 1 - Applicant details

This application form should be completed by Applicants seeking to become a Category 3 Trading Member of the Exchange. It should be read and completed in conjunction with the Membership Rules.

Rules

Member firms are expected to comply with both the Trading & Settlement Rules and Membership Rules of the Exchange. Particular attention is drawn to the Principles and Schedule 1 (Code of Conduct) and Schedule 2 (Supervision and Enforcement).

Applications

To apply, Applicants must complete, sign and return this application form to membership@tisegroup.com together with the following supporting documentation:

- copy of the Applicant's Certificate of Incorporation (if relevant information is not otherwise publicly available);
- copies of the policies, procedures and controls set out by the Applicant in section 3 of this application form;
- evidence of the Applicant's, or relevant group entity's, regulated/supervised status for anti-money laundering purposes (unless publicly available);
- Personal Questionnaire ("PQ") and due diligence documents for each director and Trader;
- structure chart detailing the Applicant's subsidiaries, immediate & ultimate parent and percentage ownership throughout the structure.

Part 1 - Applicant details

Name of Legal Entity:

**Country of
Incorporation:**

**Company
Number:**

Registered Office:

Web address:

**Name of Regulator or
Supervisor:**

**Memberships of other
Stock Exchanges:**

Part 2 - Governance

2.1 - Directors, compliance officer (person responsible for AML/CFT compliance - PQ not required).

Full name	Title/Duties
<input type="text"/>	<input type="text"/>

Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

Full name	Title/Duties
<input type="text"/>	<input type="text"/>

Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

Full name	Title/Duties
<input type="text"/>	<input type="text"/>

Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

Full name	Title/Duties
<input type="text"/>	<input type="text"/>

Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

Full name	Title/Duties
<input type="text"/>	<input type="text"/>

Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>



Part 2 - Governance

2.2 - Traders.

Full name

Title/Duties

Contact details

PQ/Supplement attached

Full name

Title/Duties

Contact details

PQ/Supplement attached

Full name

Title/Duties

Contact details

PQ/Supplement attached

Full name

Title/Duties

Contact details

PQ/Supplement attached

Full name

Title/Duties

Contact details

PQ/Supplement attached

Part 3 - Operational & Part 4 - Disclosure

3.1 - Please provide details of Policies, Procedures and Controls to demonstrate compliance against both the Membership & the Trading & Settlement Rules.

Please contact membership@tisegroup.com for any additional support or guidance.

4.1 - Please provide details of any recent relevant disciplinary measure or enforcement action to which the Applicant or its Group has been subjected by any regulatory or supervisory body, or any other relevant matters. (For example, has the Applicant had a license refused or withdrawn or been suspended or had regulatory restrictions attached).

Please contact membership@tisegroup.com for any additional support or guidance.

Part 5 - Additional Information & Part 6 - Declarations

5.1 - Please use this space to provide additional information relevant to this application.

Please contact membership@tisegroup.com for any additional support or guidance.

6 - Declarations - to be signed by two directors of the Applicant

By ticking this check box, you agree to the following declarations:

- 6.1** - We confirm that the information supplied in making this application is complete and correct to the best of our knowledge and belief and that there are no other facts which might be material to the Authority's assessment and determination of the application.
- 6.2** - We confirm that the Applicant has adequate policies, procedures and controls in place for countering financial crime and terrorist financing.
- 6.3** - We confirm that the Applicant has adequate policies, procedures and controls in place for the prevention of tax evasion, bribery and corruption.
- 6.4** - We confirm that the relevant employees of the Applicant have read and understood the [Privacy Statement](#).

MyTISE - online member services portal & NOVA - TISE Trading System

In consideration of the Authority providing the Contributor and its Users with access to and use of MyTISE & NOVA - TISE Trading System, the Contributor hereby warrants to the Authority that:

- It has read, understood and accepts the [MyTISE Terms and Conditions](#);
- It will ensure that its Users comply with the [MyTISE Terms and Conditions](#), as amended from time to time and all applicable Listing Rules, Membership Rules, laws, regulations and market conventions;
- All its Users have agreed to their personal data being collected, processed and retained by the TISE Entities for the purposes of providing Users with access to and use of MyTISE; and
- It is responsible for the Content and shall use its best efforts and take all reasonable steps to ensure that all Content is complete and accurate, and complies with all applicable Listing Rules, Membership Rules, laws, regulations and market conventions.

Signatory 1 (required)

Signature

Date

Signatory 2 (required)

Signature

Date

CATEGORY 3 TRADING MEMBER

Application Form

Version: January 2022

T: +44 [0] 1481 753000 - E: info@tisegroup.com - W: tisegroup.com

PO Box 623, Helvetia Court, Block B, 3rd Floor, Les Echelons,
St Peter Port, Guernsey, GY1 4PJ

The International Stock Exchange Authority Limited is licensed by the Guernsey Financial Services Commission to operate an investment exchange under the Protection of Investors (Bailiwick of Guernsey) Law, 2020. Legal and regulatory information: tisegroup.com/legal/regulatory