

**TISE**

The International Stock Exchange

# **CATEGORY 2 LISTING MEMBER (SPONSOR)**

**Application Form**

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

[tisegroup.com](http://tisegroup.com)

# Introduction and Part 1 - Applicant details

This application form should be completed by Applicants seeking to become a Category 2 Listing Member of the Exchange entitled to act as a Sponsor. It should be read and completed in conjunction with the Membership Rules.

## Rules

Member firms are expected to comply with both the Membership and Listings Rules of the Exchange, and 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](mailto: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;
- 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:**

**Supervised/Unsupervised status:**

If Unsupervised, identify below the regulated entity & address details if different to the above

**Unsupervised** means a firm that is not itself directly licensed, regulated or supervised, but is either:  
i) a wholly owned subsidiary of; or ii) a member of a group containing an entity which is directly licensed, regulated or supervised by a regulatory body recognised by the Authority

**Name of Regulator or Supervisor:**

**Name of Regulated Entity:**

**Address of Regulated Entity (if different):**

**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**

**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 Membership and Listing Rules.

Please contact [membership@tisegroup.com](mailto:membership@tisegroup.com) for any additional support or guidance.

3.2 - Please provide details of Policies, Procedures and Controls to demonstrate compliance against AML/CFT obligations (Unsupervised Applicants).

Please contact [membership@tisegroup.com](mailto: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](mailto: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](mailto: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

In consideration of the Authority providing the Contributor and its Users with access to and use of the MyTISE, 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

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Version: January 2022

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