



**Responsive.
Innovative.**

Becoming a listing member of TISE

More service providers are recognising that becoming a Listing Member of TISE expands their client offering and provides a new revenue stream while adding credibility and this can be facilitated through our straight forward on-boarding process.

Key benefits

- » Expanded services
- » New revenue stream
- » Clear on-boarding process

Membership

We have a Membership of more than 40 banks, fund administrators, law firms, trust and corporate service providers and stockbrokers who facilitate business with issuers while also having a responsibility to help maintain market integrity.

Being a Member widens the range of services these firms can offer their clients – potentially generating additional revenue streams – and this is especially important when a business is seeking to provide a 'one-stop shop'.

There are two types of Member:

- » **Listing Member** - A Member who is entitled to act as a sponsor for the purpose of obtaining and maintaining a listing of securities on TISE
- » **Trading Member** - A Member who is eligible to deal in securities listed on TISE

We are open to welcoming new Members. The criteria to become a Member, as well as Member responsibilities, is set out in Chapter 2 of the Membership Rules.

In broad terms, a Member must be a legal entity licensed, regulated or supervised by a suitable regulatory body or be a member of an approved professional body – or a subsidiary of either – based in a jurisdiction deemed acceptable by the Exchange's market authority. It must also be of good financial standing and integrity and continue to meet the ongoing requirements of Membership.

Members are also expected to comply with the Code of Conduct set out in Chapter 4 of the Membership Rules. This includes principles of best practice relating to such matters as integrity, skill, care and diligence, market practices and conflicts of interest.

Listing Members

An issuer must have a Listing Member appointed as sponsor at all times while it is an applicant for listing or is listed. The sponsor must be a Listing Member which has met the eligibility criteria to act in respect of a particular product:

- » **Category 1** - Specialist debt
- » **Category 2** - Investment vehicles
- » **Category 3** - Trading companies, extractive industries and SPACs

Listing Members are approved by the Exchange's market authority to be sponsors in one or more category.

The sponsor's role includes preparing and lodging the listing application, as well as seeking approval from, or providing notifications to, the market authority in relation to the activity of the issuer while it continues to be listed. Sponsors provide a declaration of responsibility for the issuer's current and ongoing compliance with the Listing Rules. Rules governing the eligibility criteria of sponsors and their responsibilities can be found under Chapter 3 of the Membership Rules.

The on-boarding process

There is an established process for the approval of new Members:

- 1) Review the Membership Rules
- 2) Engage in early discussions with the market authority
- 3) Download and complete the listing membership application form
- 4) Collate the information required on the form
- 5) Prepare KYC documentation for all directors of the potential member
- 6) Complete the Personal Questionnaire required from all directors
- 7) Return all items with payment of the initial membership fee
- 8) The market authority will consider the application and make comments
- 9) Once the application is finalised it will be presented to the Listing and Membership Committee [LMC] of the market authority
- 10) If the LMC has no objections, the application will be approved and membership announced on TISE's website. A pro-rata invoice for the annual membership fee will be issued to the Member.

Each January Members are required to complete an annual confirmation of compliance and pay their annual fee. All forms and fee information are available from TISE's website.

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Why TISE?

- » Responsive approach
- » Competitive pricing
- » Global standards
- » Wide international recognition
- » Premier location

TISE key credentials

- » Market capitalisation: > £300bn
- » Listed securities: > 2,000
- » International marketplace
- » Globally recognisable clients
- » Growing product range

Products

- » Trading companies
- » Specialist debt
- » Investment vehicles
- » SPACs
- » Extractive industries

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