

**APPLICATION FORM FOR A TRADING MEMBER  
OF  
THE INTERNATIONAL STOCK EXCHANGE  
(the “Exchange”)**

Instructions on the completion of this form are contained on pages 10 and 11

**PART I**

1. Business Name

2. Registered Address

3. Telephone no:

Fax no:

<input type="text"/>	<input type="text"/>
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4. Email address

5. Is the applicant a Limited Company/Unlimited Company/Partnership

6. Date of Incorporation

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7. Country of Incorporation

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8. Name of regulator or licensing authority

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9. Type of Licence/Permitted Business

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10. Is the applicant a Member of another stock exchange?

Yes	No

11. If YES name of exchange(s)


12. Does the applicant understand the application criteria for admission to Membership of the Exchange as well as the obligations of a Member after admission which are set out in the Membership Rules?

Yes	No

13. Please provide details of a person that will act as the main point of contact between the Exchange and the Member for all Membership matters and correspondence distributed to the Member by the Membership Department.


**PART II**

**Key Appointments**

A Personal Questionnaire, along with proof of ID and address documentation for each person identified below must be attached to this application.

A certified copy of a Personal Questionnaire previously submitted to the GFSC or JFSC may be accepted, accompanied by a Supplement to the Personal Questionnaire, if relevant.

1. Directors/Partners

<b>Full Name</b>	<b>Title/Duties</b>

2. Traders

<b>Full Name</b>	<b>Relevant Qualifications</b>

3. Total number of staff in the following areas

<b>Trading</b>	<b>Settlement</b>	<b>Other</b>

**PART III**

**Settlement of Transactions**

1. Indicate which methods the applicant intends to use for the settlement of different types of transactions

<b>Categories</b>	<b>Method of settlement (e.g. Crest/Clearstream/ EuroClear)</b>	<b>Name of settlement agent, if any (Membership Rule 6.14)</b>	<b>State whether Model A or Model B</b>
<b>Domestic Equities</b>			
<b>International Equities</b>			
<b>Fixed Interest</b>			
<b>Funds</b>			
<b>Others (specify)</b>			

2. CREST participant code if using or intending to use CREST

**PART IV**

**Business Information**

1. Name and Address of Auditor

(Please provide a copy of the latest audited accounts or if the applicant has not yet commenced business or has no audited accounts, the applicant must supply a budgeted Profit and Loss Account for the twelve month period following the date or proposed date of commencement of business together with an estimated Balance Sheet as at the end of that 12-month period).

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2. Insurance

(Applicants are welcome to discuss completion of this information with the Listing and Membership Committee prior to lodgement of the application form)

	Amount of cover
Professional Indemnity	
Other (specify)	

3. Group Structure

Is the applicant part of a Group?

Yes	No

If **YES**, attach a “family tree” of the Group structure showing percentages of equity capital share capital held in respect of all material subsidiaries of the ultimate holding company. If **NO**, provide the names and addresses of the beneficial owners of the applicant’s share capital, showing the percentage interest of each beneficial owner.

4. Procedures

Does the applicant have procedures in place to deal with their compliance in relation to the Membership Rules?

Yes	No

If **YES**, please attach a copy of the procedures that relate to the Exchange. If **NO**, please advise when these procedures will be completed.

5. Provide details of the business activities of subsidiaries of the applicant (if any)

6. Provide details of the applicant's immediate holding/parent company (if any)

Name:

Principal activities

Address of registered office

## Application for Membership of The International Stock Exchange Authority

### Trading Member

#### Declaration (to be signed by two directors/partners)

We declare that the information supplied in this application is complete and correct and that we have included any other information which is relevant to the application. We agree to notify the Listing and Membership Committee of The International Stock Exchange Authority Limited (the "Authority") immediately of any significant changes to the information provided in this application which may occur after submission of the application and before receiving notification of the decision of the Listing and Membership Committee.

We authorise the Listing and Membership Committee to obtain information from the regulator or licensing authority named in paragraph 9 of Part I and, if requested, to pass information to that regulator or licensing authority. We attach a letter addressed to [name of regulator/licensing authority/professional body] giving the Listing and Membership Committee the necessary authority to obtain such information on both our organisation and the individuals listed in Part II. Note: each individual will need to give the necessary authority to the Listing and Membership Committee.

If admitted to membership of The International Stock Exchange we:

- agree to be bound by the Rules of the Authority which are in force or may be in force from time to time;
- acknowledge our obligations under the Membership Rules and agree to notify the Authority of any significant changes to the information provided in this application;
- confirm that we are in compliance with all Laws and Regulations applicable to us;
- confirm that the directors have considered the financial information of the Member and are satisfied that, the Member will be able to meet its liabilities as they fall due; and
- confirm that the directors of the Member have reviewed the insurance cover held by the Member and consider that such cover is adequate and appropriate and that it meets the requirements of the Membership Rules.

For and on behalf of (Name of applicant firm):	
Name (Block Capitals):	
Position:	
Signature:	
Date:	



Name (Block Capitals):	
Position:	
Signature:	
Date:	

This application form should be completed and returned to:

Listing and Membership Committee  
The International Stock Exchange Authority Limited  
PO Box 623  
Helvetia Court  
Block B, 3<sup>rd</sup> Floor  
St Peter Port  
Guernsey  
GY1 1AR

Together with the following documents:

1. Certified copy of the Memorandum and Articles of Incorporation of the applicant.
2. Certified copy of the Certificate of Incorporation.
3. Latest audited accounts or if the applicant has not yet commenced business or has no audited accounts, the applicant must supply a budgeted Profit and Loss Account for the 12-month period following the date or proposed date of commencement of business together with an estimated Balance Sheet as at the end of that twelve month period.
4. Certified copy of the Personal Questionnaires for all persons named in PART II.

Persons named in PART II are required to provide a certified copy of identity and address documentation and any other additional information that may be requested by the Authority.

5. Evidence that professional indemnity has been paid.
6. Structural chart of the company.
7. Membership application fee.
8. A letter addressed to the Listing and Membership Committee authorising the Listing and Membership Committee to seek such additional information as may be required from the Applicant's Regulatory or Supervisory Authority, concerning both the Applicant and the personnel detailed in the application form. This letter must be signed by all persons named in Part II.

## **COMPLETION OF THE APPLICATION FORM**

This application form should be read in conjunction with the Rules of The International Stock Exchange Authority.

Words contained in this application form have the same meaning as those defined in Chapter 1 of the Rules of The International Stock Exchange Authority.

Answers must be completed in block letters or typed.

Additional information should be written on separate sheets which should be attached to this form.