

# TISE

The International  
Stock Exchange  
Authority

**Application form for a Category 1  
Listing Member of The International  
Stock Exchange**  
[the “Exchange”]



# Application form for a Category 1 Listing Member of The International Stock Exchange

## Applicant details

Name of Applicant:

Applicant address:

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 for anti money laundering purposes, 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:

Memberships of Other Stock Exchanges:

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## Declarations

**(to be signed by two directors of the Applicant)**

We confirm that the Applicant has adequate policies, procedures and controls in place for countering financial crime and terrorist financing.

We confirm that the Applicant has adequate policies, procedures and controls in place for the prevention of tax evasion, bribery and corruption.

We confirm that the relevant employees of the Applicant have read and understood the [Privacy Statement](#).

We confirm that the Applicant has sufficient experience, policies, procedures, controls and resources to act as a Category 1 Listing Member.

### TISE PORTAL

In consideration of the Authority providing the Contributor and its Users with access to and use of the TISE Portal the Contributor hereby warrants to the Authority that:

1. It has read, understood and accepts the [TISE Portal Terms and Conditions](#);
2. It will ensure that its Users comply with the [TISE Portal Terms and Conditions](#), as amended from time to time and all applicable Listing Rules, Membership Rules, laws, regulations and market conventions;
3. 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 the Portal; and
4. 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**

Name:

Title:

Signature:

Date:

**Signatory 2**

Name:

Title:

Signature:

Date:

# TISE

## The International Stock Exchange Authority

### Products

- » Trading companies
- » Debt
- » Investment vehicles
- » SPACs
- » **TISE GREEN**

### Key Credentials

- » Total market value: > 400bn
- » Listed securities: > 3,000
- » International marketplace
- » Globally recognisable clients
- » Growing product range

### Why TISE?

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

### Contact us

T: +44 (0) 1481 753000  
E: [info@tisegroup.com](mailto:info@tisegroup.com)  
[www.tisegroup.com](http://www.tisegroup.com)  
 follow @tisegroup  
 follow us on LinkedIn

#### The International Stock Exchange Authority Limited

Registered Office PO Box 623, Helvetia Court, Block B, 3rd Floor, Les Echelons, St Peter Port, Guernsey, GY1 1AR

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