

TISE

**The International
Stock Exchange**

**Application form for a
Category 3 Trading Member of
The International Stock Exchange
(the “Exchange”)**

Application form for a Category 3 Trading Member of The International Stock Exchange

Introduction

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 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 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 and ultimate parent and percentage ownership throughout the structure.

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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:

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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"/>
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Full name	Title/Duties
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Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

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Part 2 - Governance

2.2. - Traders

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
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Contact details	PQ/Supplement attached
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Full name	Title/Duties
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Full name	Title/Duties
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Contact details	PQ/Supplement attached
<input type="text"/>	<input type="text"/>

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Part 3 - Operational

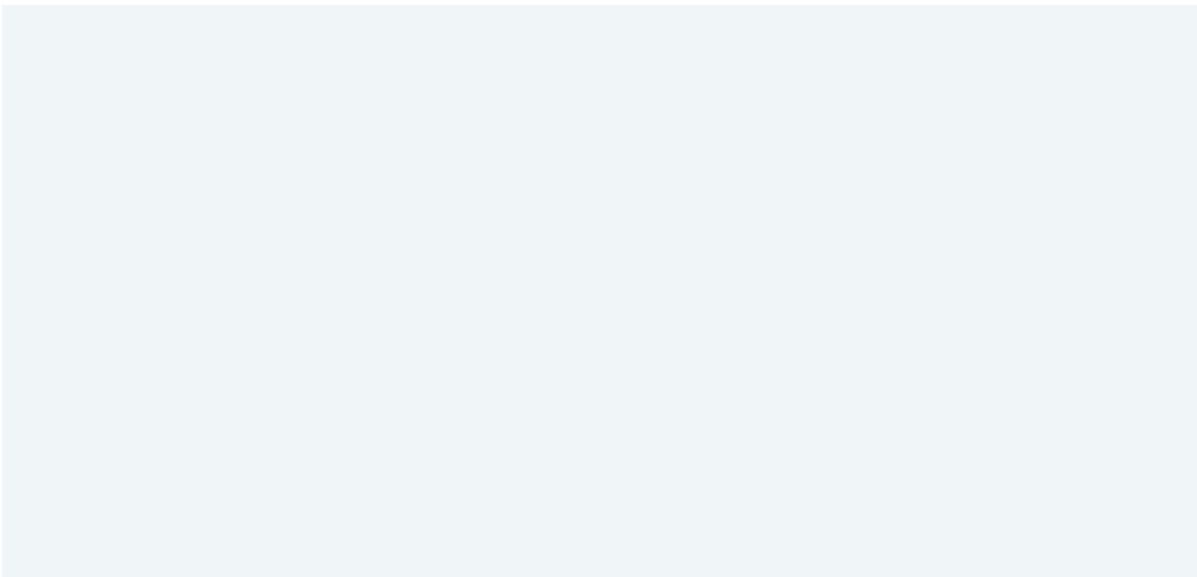
3.1 - Please provide details of Policies, Procedures and Controls to demonstrate compliance against both Membership and Listing Rules

Please contact 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)

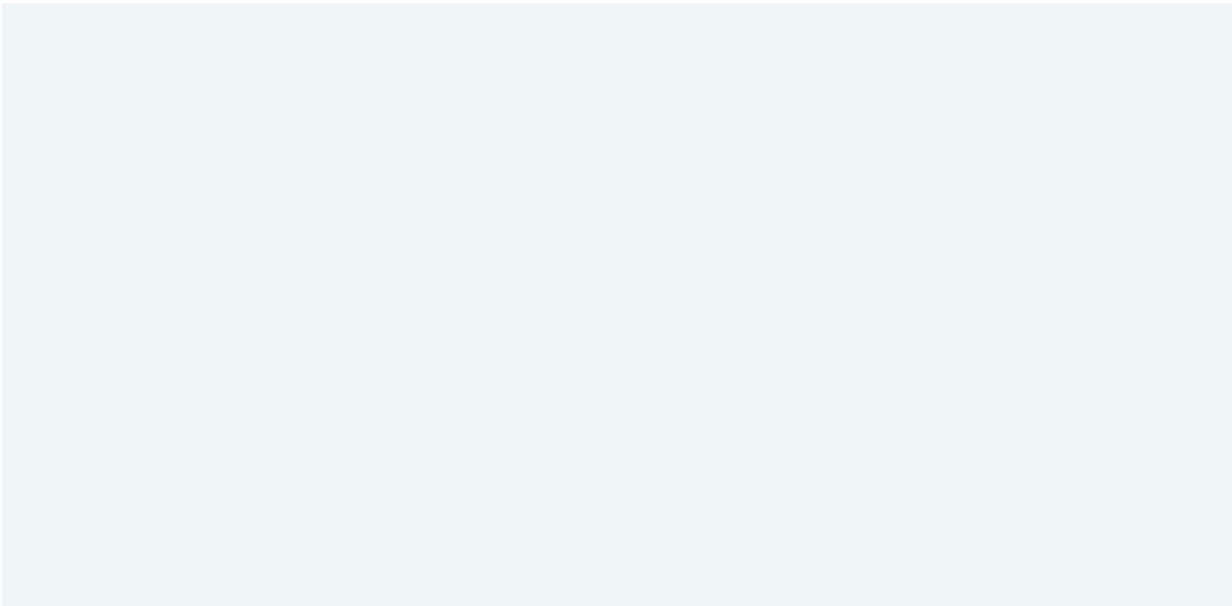
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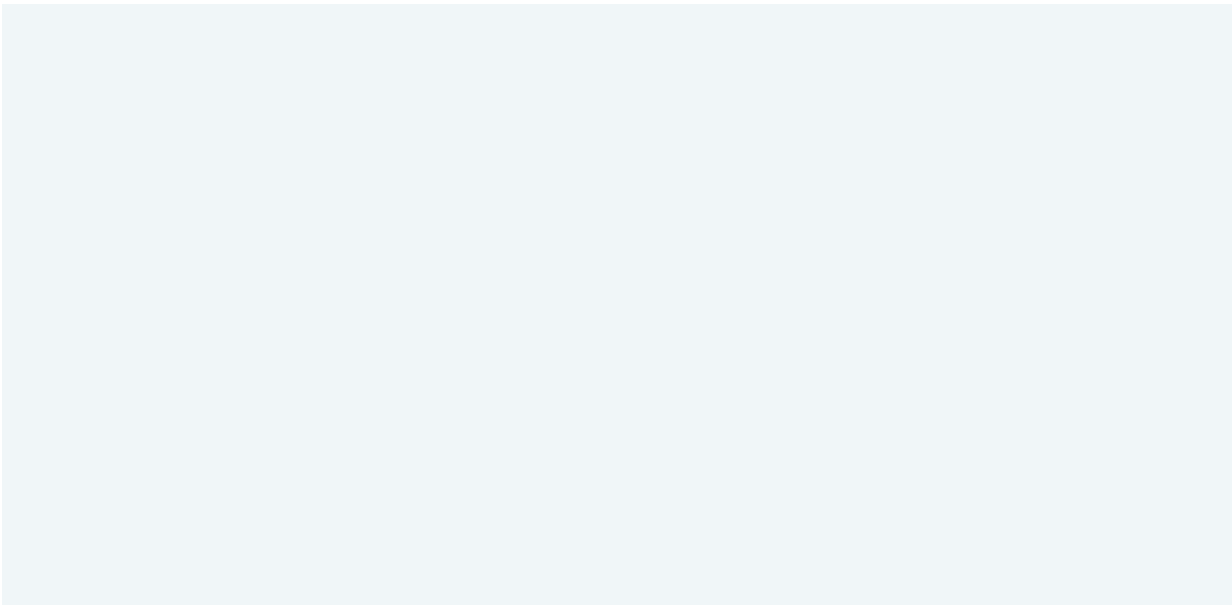
Part 4 - Disclosure

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).



Part 5 - Additional information

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



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Part 6 - Declarations

(to be signed by two directors of the Applicant)

- 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](#).

TISE PORTAL

In consideration of the Authority providing the Applicant and its Users with access to and use of the TISE Portal the Applicant 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

Responsive. Innovative.

Products

- » Trading companies
- » Bonds
- » 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

www.tisegroup.com

 follow @tisegroup

 follow us on LinkedIn

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

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

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