

Membership Application Form

Effective: 2 September 2024

INTRODUCTION

Applicants for membership of TISE should familiarise themselves with the eligibility criteria for Membership, as set out in the Membership Rules, and are strongly encouraged to contact TISE [by email to membership@tisegroup.com] to discuss their application prior to submitting this form and any supporting documents and information.

To formally apply for membership, applicants must complete, sign and return this application form to membership@tisegroup.com, along with the supporting documents and information set out in Membership Rules 2.1 [Category 1 applicants], 5.1 [Category 2 applicants] or 8.1 [Category 3 applicants].

PART 1 - APPLICANT DETAILS

Name of Applicant:

Registered Office:

Website:

Memberships of other Stock Exchanges:

Type of membership:

Category 1 (Listing Agent)

Category 2 (Sponsor)

Category 3 (Trading Member)

Supervisory status:

Supervised means a company or firm that is directly licensed, regulated or supervised for the purposes of countering financial crime by a regulatory body acceptable to the Authority.

Unsupervised means a company or firm that is not itself directly licensed, regulated or supervised for the purposes of countering financial crime, 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 for the purposes of countering financial crime by a regulatory body acceptable to the Authority.

if Unsupervised, identify below the Regulated or Supervised entity and address details (if different to the above):

Name of Regulated or Supervised Entity:

Address of Regulated or Supervised Entity:

Name of Regulator or Supervisor:

PART 2 - GOVERNANCE

Please use additional copies of this page as required.

DIRECTORS

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

MONEY LAUNDERING COMPLIANCE OFFICER

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

TRADERS (CATEGORY 3 ONLY)

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Full name	Email address	Contact number
<input type="text"/>	<input type="text"/>	<input type="text"/>

PART 3 - OPERATIONAL MATTERS

Please describe the reason for applying for Membership and the nature and volume of business the applicant anticipates carrying out on the Exchange.

Please list the name(s) and describe the nature of the policies and procedures which demonstrate the applicant's compliance with the applicable rules of the Authority.

Please list the name(s) and describe the nature of the policies and procedures which demonstrate the applicant's compliance with applicable AML/CFT/CPF requirements.

Please describe the human and technical resources available to the applicant which demonstrate that the applicant is able to fulfil its duties and responsibilities as a Member of the Exchange.

PART 4 - DISCLOSURES

Please set out the details of any disciplinary measures or sanctions imposed on the applicant (or its Regulated or Supervised group entity where the applicant is Unsupervised) or any director and/or employee by any statutory, regulatory, professional, or other body exercising its powers of enforcement.

PART 5 - ADDITIONAL INFORMATION

Please use this space to provide any additional information relevant to this application. You may also use this space to provide further information to questions in Parts 1 – 4.

PART 6 - MYTISE ONLINE MEMBER SERVICES PORTAL

MyTISE provides Members with the ability to submit listing applications, prepare and publish news and NAVs for issuers, submit continuing obligations filings and administer their own user access. In consideration of the Authority providing the applicant and its users with access to and use of MyTISE, we hereby warrant to the Authority that:

- The applicant has read, understood and accepts the [MyTISE Terms and Conditions](#);
- The applicant will ensure that its users comply with the [MyTISE Terms and Conditions](#), as amended from time and all applicable rules of the Authority, laws, regulations and market conventions;
- All of the applicant's 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
- The applicant is responsible for the content its users submit through MyTISE and it shall use its best efforts and take all reasonable steps to ensure that all content is complete and accurate and complies with all applicable rules of the Authority, laws, regulations and market conventions.

Director 1 (required)

Signature
Date

Director 2 (required)

Signature
Date

PART 7 - DECLARATIONS

By signing this application form, we the directors of the applicant, confirm that:

- We are authorised to complete and sign this application form on behalf of the applicant;
- The documents and information supplied in making this application are 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;
- The applicant has adequate policies, procedures and controls in place for countering financial crime, terrorist financing and proliferation financing;
- The applicant has adequate policies, procedures and controls in place for the prevention of tax evasion, bribery and corruption; and
- The relevant employees of the applicant have read and understood TISE's [Privacy Statement](#).

Director 1 (required)

Signature
Date

Director 2 (required)

Signature
Date

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2 September 2024

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

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