aquis stock exchange

AQUIS STOCK EXCHANGE MEMBER APPLICATION FORM



Introduction

Thank you for your interest in becoming a Member of Aquis Stock Exchange.

Becoming a Member is a straightforward process that involves completing this application form and associated documents for the services that you wish to use. Alongside this, your firm will need to review and sign the Aquis Stock Exchange Member Participation Agreement. Legal agreements relating to additional Aquis Stock Exchange services are specified in Section Two of this form.

If you have any questions, please contact our Compliance team.

Completed application forms can be submitted by email to compliance@aquis.eu and sales@aquis.eu.

Please provide the following supporting documents with your application:

- A copy of your firm's corporate ownership structure; and
- Certificate of incorporation.



Section 1: Applicant Information

Name of Legal Entity ("the Applicant")	
Legal Entity Identifier (LEI) code	
Country of Registration	
Registered Address	
Business Address (if different to the above)	
Switchboard Phone Number	
Website	
•	ce(s) from which the Applicant firm intends to access Aquis Stock ranch of the Applicant will need to complete a separate Member
Name of Branch Office	
Address of Branch Office	
Name Title Phone Email	
Please indicate which type of business you intend to conduct on Aquis Stock Exchange	Client Proprietary (excluding client facilitation)
Do you intend to use 'algorithmic trading' on Aquis Stock Exchange (as defined in Directive 2014/65/EU)?	If yes, please provide a declaration, by email to compliance@aquis.eu , certifying that for all algorithms deployed on the markets operated by AQSE (and subsequently for existing algorithms due to undergo a substantial update, or for future algorithms yet to be deployed), testing has been adequately undertaken, and to provide a brief explanation of the means used for that testing; and, if you are applying as a Market Maker Member, please complete the Market Marker Addendum.
Do you intend to facilitate Direct Market Access	☐ Yes ☐ No



Section 2: Services Required

Please indicate also your firm's requirements for the following	າg:
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Broker Member				
Market Maker Member				
Direct Market Data Feed	Please also complete the Direct Data Licence and Order Form			
Section 3: Regulatory St	atus			
Is the applicant firm authorised by the FCA or an EEA regulator?	☐ Yes ☐ No			
Please state which regulator your firm is authorised by				
Firm authorisation reference number				
Please state which other exchanges or trading venues the applicant is a member of				
Section 4: Compliance				
By submitting this form, the Applicant co	nfirms that the following statements are true (please tick to confirm):			
All relevant staff at the applican Platform Guide and will comply	It firm have read and understood the AQSE Trading Rules and the Trading with all of the Rules set out.			
All relevant staff, who will be incompetent or are supervised to	volved in the applicant firm's activity on Aquis Stock Exchange are an adequate level.			
The Applicant firm has appropriate systems and controls in place to ensure that it complies with the Aquis Stock Exchange rules and procedures.				
Please explain the measures that your fi	rm has in place to prevent disorderly trading:			



Automatic Cancel on Disconnect

Yes	No			
ection 5: C	ontact Inform	ation		
Contact type	Name	Phone	Email	
Business				
Frading				
Compliance				
Fechnical operations				
_egal				
Billing				
Email address or system alerts and notifications				
ection 6: B	illing Details	<u> </u>	1	
Billing address				
/AT number				
Contact name for	invoices			
Γitle				
Phone				



Section 7: Clearing Arrangements

How will your firm's trades or	Aquis Stock Ex	change be cl	eared?		
Self-clearing					
Third party clearer					
If using a third party clearer, p	olease confirm w	hich one:			
Section 8: Conne	ctivity				
Does your firm already have	connectivity in pl	ace with Aqu	is Stock Exchange	e or another Aquis Group	company?
Yes	☐ No				
Contact type	Name		Phone	Email	
Contact for FIX/ATP IDs					
Connectivity Team Contact					
Network Support (Group Contact)					
(Group Contact)					
Please indicate which method	d(s) your firm will	use to conne	ect to Aquis Stock	Exchange:	
Direct Access (Cross Connect or Leased	d Line)	Physical network port at Aquis Stock Exchange demarcation.			
(Oross Connect of Leaset	i Line)	Acce	ss to Aquis Stock	Exchange and/or its mai	rket data using
Access via a Third Party Network (Extranet)		a third party network.			
		Please state which one:			
		Please state your intended bandwidth:			
Aquis Stock Exchange also s	supports VPN acc	cess (for the	Test environment	only). Please contact <u>sal</u>	es@aquis.eu
or details.					

Datacentre	Port Speed	Quantity
Equinix Slough LD4 (primary datacentre)	1 Gb	
Equinix Slough LD4 (primary datacentre)	10 Gb	
Interxion LON1 (secondary datacentre)	1 Gb	

Please contact networks@aquis.eu for details of other available speeds.



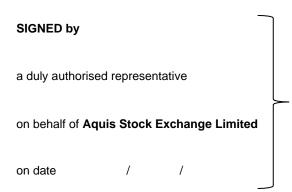
Applicant Declaration

Capitalised words in this declaration have the meaning as set out in the Member Participation Agreement.

- The Applicant hereby applies to enter into the Member Participation Agreement and confirms that the information contained in this Application Form or otherwise provided to Aquis Stock Exchange is true, complete and accurate.
- 2. The Applicant agrees to inform Aquis Stock Exchange in the event that it wishes to amend its business profile in relation to its activities on Aquis Stock Exchange.
- 3. The Applicant acknowledges that it has read and understood the Terms and Conditions and agrees to abide by the Terms and Conditions on a continuing basis.
- 4. The Applicant acknowledges that it has read and understood the Rules and agrees to abide by the Rules on a continuing basis.
- 5. The Applicant agrees to pay the Fees as specified by Aquis Stock Exchange in the Fee Schedule.
- 6. The Applicant confirms that it has appropriate clearing arrangements in place for the markets that it wishes to trade on Aquis Stock Exchange.

This declaration must be signed by an authorised signatory of the Applicant firm for and on behalf of the Applicant:

a duly authorised representative on behalf of on date / /





Appendix 1: Trading Profile Contacts

Please provide details of the individuals at your firm who should have the authority to request order cancellations, trade cancellations or changes to the firm's trading profile.

It is the responsibility of the Member firm to ensure that this list is up to date and to inform Aquis Stock Exchange of any changes. Only individuals who are named below will be able to request changes to this list.

Name	Title	Phone	Email

Trade Bust Contacts

Please list a few individuals who can be contacted by Aquis Stock Exchange in the event that a trade is deemed to be erroneous and requires cancellation by our surveillance team.

Name	Title	Phone	Email	