



**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	

Please provide details of any branch office(s) from which the Applicant firm intends to access Aquis Stock Exchange. Affiliate firms that are not a branch of the Applicant will need to complete a separate Member Application Form.

Name of Branch Office	
Address of Branch Office	

Details of the person handling your firm's application

Name	
Title	
Phone	
Email	

Please indicate which type of business you intend to conduct on Aquis Stock Exchange	<input type="checkbox"/> Client <input type="checkbox"/> Proprietary (<u>excluding</u> client facilitation)
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Do you intend to use 'algorithmic trading' on Aquis Stock Exchange (as defined in Directive 2014/65/EU)?	<input type="checkbox"/> Yes <input type="checkbox"/> No 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 Maker Addendum.
Do you intend to facilitate Direct Market Access	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section 2: Services Required

Please indicate also your firm's requirements for the following:

Broker Member	<input type="checkbox"/>
Market Maker Member	<input type="checkbox"/>
Direct Market Data Feed	<input type="checkbox"/> Please also complete the Direct Data Licence and Order Form

Section 3: Regulatory Status

Is the applicant firm authorised by the FCA or an EEA regulator?	<input type="checkbox"/> Yes <input type="checkbox"/> 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 confirms that the following statements are true (please tick to confirm):

- All relevant staff at the applicant firm have read and understood the AQSE Trading Rules and the Trading Platform Guide and will comply with all of the Rules set out.
- All relevant staff, who will be involved in the applicant firm's activity on Aquis Stock Exchange are competent or are supervised to 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 firm has in place to prevent disorderly trading:

Automatic Cancel on Disconnect

If application, please state whether you would like your firm's open orders or quotes to be automatically cancelled in the event that connectivity to Aquis Stock Exchange is lost.

Yes

No

Section 5: Contact Information

Contact type	Name	Phone	Email
Business			
Trading			
Compliance			
Technical operations			
Legal			
Billing			
Email address for system alerts and notifications			

Section 6: Billing Details

Billing address	
VAT number	
Contact name for invoices	
Title	
Phone	
Email	

Section 7: Clearing Arrangements

How will your firm's trades on Aquis Stock Exchange be cleared?

- Self-clearing
- Third party clearer

If using a third party clearer, please confirm which one: _____

Section 8: Connectivity

Does your firm already have connectivity in place with Aquis Stock Exchange or another Aquis Group company?

- Yes No

Contact type	Name	Phone	Email
Contact for FIX/ATP IDs			
Connectivity Team Contact			
Network Support (Group Contact)			

Please indicate which method(s) your firm will use to connect to Aquis Stock Exchange:

Direct Access (Cross Connect or Leased Line)	<input type="checkbox"/> Physical network port at Aquis Stock Exchange demarcation.
Access via a Third Party Network (Extranet)	<input type="checkbox"/> Access to Aquis Stock Exchange and/or its market data using a third party network. Please state which one: _____ Please state your intended bandwidth: _____

Aquis Stock Exchange also supports VPN access (for the Test environment only). Please contact sales@aquis.eu for details.

If connecting directly, please indicate the total number of physical connections required:

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.

1. 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:

SIGNED by

a duly authorised representative

on behalf of

on date / /



SIGNED by

a duly authorised representative

on behalf of **Aquis Stock Exchange Limited**

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