



AQUIS-EIX

MEMBER APPLICATION FORM

Introduction

Thank you for your interest in becoming a Member of the Aquis-EIX order book.

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-EIX Member Participation Agreement.

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

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

Please provide the following supporting documents with your application:

- A copy of member management structure and responsibilities
- A copy of Director passports
- Beneficial owner's passport who has a specified interest of 25% or more

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-EIX. 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	

Section 2: Regulatory Status

Is the applicant firm regulated?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please state relevant regulator(s)	
Firm regulation reference number	

Section 3: 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 Aquis-EIX Rulebook 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-EIX 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-EIX rules and procedures.

Section 4: Business Activity

Please details normal daily business activity in which your firm conducts in general, i.e trading behaviour, asset classes traded etc..

Section 5: Systems and Controls

Please detail the pre trade control limits that your firm has in place to prevent disorderly trading

Please detail the decision process for changing pre-trade system and controls limits and who holds responsibility

Please detail the extent of your firm's post-trade monitoring

Section 6 Beneficial Owners

Please detail the Member Firm's beneficial ownership structure (diagram if necessary).

If an individual or corporate own or controls over 25% of its shares or voting rights, please provide additional information on their names and registered addresses, along with a copy of their passports.

Section 7: Contact Information

Contact type	Name	Phone	Email
Business			
Trading			
Compliance			
Technical operations			
Legal			
Billing			

Applicant Declaration

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 Exchange is true, complete and accurate.
2. The Applicant agrees to inform Aquis Exchange in the event that it wishes to amend its business profile in relation to its activities on Aquis-EIX.
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 Exchange in the Aquis-EIX Fee Schedule.

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-EIX**

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 Exchange of any changes. Only individuals who are named below will be able to request changes to this list.

Name	Title	Phone	Email