

## Retail Order Member Attestation

(For Members of Aquis Exchange Europe (“AQEU”) and/or Aquis Stock Exchange (“AQSE”))

Please fill out all of the sections of this Attestation and return it to [sales@aquis.eu](mailto:sales@aquis.eu). Aquis Exchange Limited (“**Aquis**”) will return a counter-signed copy of this Attestation to confirm that it has been accepted and processed. This Attestation should be reviewed alongside the Aquis Exchange Rulebook and for the purposes of this Attestation, ‘Member’ has the meaning given in the Aquis Exchange Rulebook.”

### 1. General Information

<b>Name of legal entity (the Member”)</b>	
<b>Country of registration</b>	
<b>Registered address</b>	
<b>Business address (if different to the above)</b>	
<b>Switchboard phone number</b>	

**Aquis Venue (tick all that apply)**

☐ AQEU ☐ AQSE

**Order Flagging: Method**

- ☐ New retail-specific trading port
- ☐ On-behalf-of tag 115 (FIX users only)

**Please specify the On-behalf-of value that will be sent in FIX tag 115**

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*Note: Retail-specific trading ports are free of charge and do not contribute towards your application session count.*

### 2. Purpose of this Attestation

From 1 January 2026, Qualified Retail Flow submitted to Aquis under the Aquis Matching Pool (AMP) will be eligible for zero trading fees.

To benefit from this pricing, Members must attest that orders marked as Retail Orders meet the criteria below and that appropriate internal controls exist to ensure correct designation.

This attestation may also be used for future participation in the Aquis Retail Liquidity Provision Scheme (RLP).

### 3. Retail Order Requirements

By executing this Attestation, the Member represents, warrants, and undertakes that any order submitted to Aquis and designated as a Retail Order will meet all the following criteria:

- The order is submitted on behalf of a natural person, or another client categorised as a retail client under the Member's MiFID II / UK MiFID client categorisation procedures.
- The underlying client is not classified as a Professional Client or Eligible Counterparty pursuant to MiFID II / UK MiFID.
- The order originates from the client without the use of algorithmic trading strategies, or automated decision-making systems, except where automation is used solely for routing, submission, or basic order management.
- The Member, or any intermediary, has not altered the order's price or side prior to submission for execution on the Aquis market.
- Orders are submitted in Agency or Riskless Principal capacity only.
- The Member maintains written procedures reasonably designed to ensure that only orders meeting these criteria are designated as Retail Orders.

### 4. Contact Information

Please provide at least one group contact and one individual for each category. Members are responsible for ensuring that they keep Aquis informed of any changes to this contact list.

Contact type	Name	Phone	Email (including Group Email)
<b>Business contact</b>			
<b>Legal</b>			
<b>Email address for system alerts and technical notices</b>			



The Member agrees that this Attestation forms part of, and is governed by, the Contract between the parties. Unless otherwise provided herein, capitalised terms used in this Attestation shall have the meanings given to them in the Aquis Exchange Rulebook or, where not defined therein, in accordance with MiFID II / UK MiFID.

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

**Aquis Exchange Limited:**

By (printed): \_\_\_\_\_  
Signature: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

**Member:**

By (printed): \_\_\_\_\_  
Company: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_