Retail Order Member Attestation

(For Members of Aquis Exchange Europe ("AQEU") and/or Aquis Exchange UK ("AQXE"))

Please fill out all sections of this Attestation and return it to sales@aquis.eu. Aquis Exchange Limited and/or Aquis Exchange Europe SAS (collectively "**Aquis**") will return a counter-signed copy to confirm that it has been accepted and processed. This Attestation should be reviewed alongside the Aquis Exchange Rulebook for whichever Aquis entity(s) the Member intends to send Qualified Retail Orders to. For the purposes of this Attestation, 'Member' has the meaning given in the Aquis Exchange Rulebook.

1. General Information

Section 1a

Name of legal entity (the "Member")	
Country of registration	
Registered address	
Business address (if different to the above)	
Switchboard phone number	

Aquis Venue (Operating MIC - tick all that apply)

☐ Aquis EU (AQEU) ☐ Aquis UK (AQXE)

Note: If you use the same legal entity for both AQEU and AQXE, you may tick both boxes on a single form. If different legal entities participate on each platform, a separate form must be submitted for each entity.

2. Purpose of this Attestation

Qualified Retail Flow submitted to Aquis is eligible for retail-specific fees, as per the Fee Schedule.

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 Scheme).

3. Retail Order Requirements

By executing this Attestation, the Member represents and undertakes that it has implemented and maintains policies, procedures and controls reasonably designed to ensure that orders designated as Retail Orders meet 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 policies and procedures reasonably designed to ensure that neither it, nor any intermediary acting on its behalf, alters 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)
Business contact			
Legal			
Email address for system alerts and technical notices			

The Member agrees that this Attestation forms part of, and is governed by, the Member Participation Agreement between the Member and each Aquis entity to which it is applying for Retail Attestation. 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 and/or Aquis Exchange Europe SAS:

By (printed): _____

Signature: _____

Title: _____

Date: _____

Member:

By (printed): _____

Company: _____

Signature: _____

Title: _____

Date: _____