

Application for Admission as Exchange Participant
at the Frankfurt Stock Exchange (FWB®)



FWB® Frankfurter Wertpapierbörse
c/o Deutsche Börse AG
Client Services Trading
60485 Frankfurt/Main
Germany

Member ID
* (will be allocated by FWB)

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Applicant

* Name of the applying exchange participant _____

* Address 1 _____ * Street No _____

* Address 2 _____

* Zip Code _____ * City _____

* Country _____

* Value Added Tax Identification Number (EU-countries only) _____

Contact person

* First name / surname _____

* Telephone _____ * Fax _____

Application for Admission as Exchange Participant at the Frankfurt Stock Exchange (FWB®) pursuant to § 15 of the Exchange Rules

- I. We herewith apply for admission to participate in Exchange EDP Trading pursuant to § 15 Paragraph 1 of the Exchange Rules of the Frankfurt Stock Exchange via the following backends:

T7 Cash (XETR) Xetra (XFRA)

Additionally we apply for the access to the Trading hall pursuant to § 15 Paragraph 2

- II. We intend to apply for the participation at the simulation before starting the trading activities. In order to start the technical connection process, to the Exchange EDP Xetra, we subsequently provide the information for the company for which the admission will be applied for:

1. The following company should be registered as exchange participant (state the correct company name with its legal status):

our Head Office or our Branch Office or our Subsidiary

Name of the office

Full address of the office

2. The following persons will act as contact persons:

Central Coordinator (Main contact for all Exchange EDP Electronic Trading issues. He/she is responsible for in-house distribution of all Exchange EDP Electronic Trading relevant information. The Central Coordinator also administers the user accounts and assigns rights within the Member Section. In order to obtain access to the Member Section, new users have to go through an electronic registration process which is approved by the Central Coordinator. Please nominate a person, who accepts such publication for the period of time he is carrying out the function as CC for the users of your company).

First name, surname, position, phone, fax, e-mail

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Compliance Contact (responsible for matters concerning the admission)
Please use the Online Registration Tool to register your internal compliance contact.

Hereto you find the menu item “Contacts” within the Member Section.

Choose “Compliance Contacts” to find the respective function.

<https://member.deutsche-boerse.com/irj/portal>

III. We declare that our business operations represent a commercially organized business establishment with regard to its scale and nature, and that we are, regarding the objects stated in § 13 of the Exchange Rules which are tradable on exchanges, commercially engaged in

purchasing and selling for our own account (proprietary business)

and/or

purchasing and selling in our own name for the account of third parties (agency business)

and/or

acting as intermediaries for contracts to buy or sell.
(not possible through Exchange EDP Electronic Trading!)

IV. We confirm that at least one Exchange Trader (application via electronic admission tool eXAS) and one Nominated Person (application via separate form) will be admitted/registered.

V. We are aware that as a financial services institution or a branch office of such company within the meaning of section 53b of the German Banking Act we shall be obliged to report any transaction concluded by us within the scope of exchange participation at the FWB pursuant to the stipulations of section 9 Wertpapierhandelsgesetz (WpHG - German Securities Trading Act; subsequently: WpHG). This obligation also applies for companies domiciled in a country which is neither a member state of the European Union nor a Contracting State of the Agreement on the European Economic Area and admitted to participate in trading at the FWB as far as financial instruments transactions are concerned which were concluded at this exchange.

In cases of doubt with regard to factual or geographic applicability of section 9 WPHG to our company, we undertake to inquire with BaFin, the German Federal Financial Supervisory Authority, in as far we are subject to reporting requirements.

VI. We hereby declare that we are aware of, and accept, the currently binding Rules of the Frankfurt Stock Exchange and the Conditions for Trading at the Frankfurt Stock Exchange, and will comply with their terms.

VII. With regard to the use of the electronic trading system, we guarantee our ability to be reached at all times during trading hours.

We are aware that we are obliged to apply in writing with the Management Board of the FWB if we intend to install further Exchange EDP trading screens at one of our other locations.

VIII. For the evidence of the admission requirements, we have enclosed the necessary documents and evidence as stated in the Information Memorandum; the correctness of which we herewith confirm.

Place and Date

Company stamp and authorised signature
(Name in Capitals)