

Application for the admission to participate in trading & Statement Natural Users (Traders)

1 Trader

Person acting on behalf of the company, specifically in trading

Contact Person Name

Company Name

E-Mail

Phone

National ID

Nationality

Address

yes no

Chief Trader

2 Statement of reliability and professional qualification

- The trader declares that no criminal proceedings are being conducted against him/her for a crime or delinquency in connection with a professional activity or participation in trade, nor have such proceedings been conducted at an earlier stage and concluded with a conviction or suspension for insignificance or subject to conditions and instructions
- The trader declares that no administrative offence proceedings or comparable proceedings are currently being conducted against him/her in connection with a professional activity or participation in trade, nor have such proceedings been concluded with a fine or other sanction at an earlier date
- The trader declares that neither he/she nor any company managed by him/her was or is involved as debtor in insolvency proceedings or in proceedings concerning the making of a declaration on oath or in any analogous proceedings
- The trader declares that he/she has the necessary professional qualification to be eligible to participate in trading at the Baden-Württembergische Wertpapierbörse, that his/her professional competence is kept up to date and that it is regularly evaluated
- All information given in this statement as well as in the related annexes is complete and correct

3 Confirmations

- The company will inform the Baden-Württembergische Wertpapierbörse without delay via membership@boerse-stuttgart.de if one or more requirements within the scope of the admission to trading on the Baden-Württembergische Wertpapierbörse will or can no longer be fulfilled.
- The company has read, accepted and stored the rules and regulations of the Baden-Württembergische Wertpapierbörse as part of its admission to trading on the Baden-Württembergische Wertpapierbörse
- The company is informed about its obligations under Union law
- All information provided in this application and in the accompanying attachments is complete and correct

4 Signatures

Trader

Place

Date

Name(s)

Position(s)

Signature(s)

Trading Participant or representing agent

Place

Date

Name(s)

Position(s)

Signature(s)

Please send the Application & Statement to membership@boerse-stuttgart.de.

We highly appreciate your collaboration to meet regulatory requirements. Thank you!

Attachments

Checklist

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- Current excerpt from the commercial register or a comparable register from which the persons authorized to represent the company can also be seen (notarized)

 - Current powers of attorney of the persons acting on behalf of the company (if the authority to represent the company is not apparent from the registers)

 - Current copies of identification documents of the persons appearing for the company

 - Current curriculum vitae of the persons acting on behalf of the company
