

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

1 Applicant

Trading Participant

Company Name

Legal Entity Identifier

Registered Office

Address

Legal Form

Company Register ID

Website

The company's data above is allowed to be published on the website www.boerse-stuttgart.de

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

The written power of the attorney is attached

2 Submitter of the Application

Contact Person Name

Company Name

E-Mail

Phone

3 Timeline

Date of the admission to participate in trading

Please note that the data provided is subject to the fulfilment of all regulatory and technical requirements and does not give any entitlement to actual testing or commissioning on the specified date.

4 Intended services within the scope of the admission to participate in trading

Trading in own name on own account

- Proprietary trading in accordance with section 1 (1a) sentence 2 no. 4 of the Gesetz über das Kreditwesen (KWG - German Banking Act)
- Proprietary business in accordance with section 1 (1a) sentence 3 of the Gesetz über das Kreditwesen (KWG - German Banking Act)

Trading in own name on foreign account

- Financial commission business in accordance with section 1 (1) sentence 2 no. 4 of the Gesetz über das Kreditwesen (KWG - German Banking Act)

Home Member State

Name

- For the provision of the services above, a license from the national competent authority is necessary
- For the provision of the services above, a license from the national competent authority is not necessary

Host Member State (if applicable)

Name Germany

- For the provision of the services above, a license notification from the national competent authority is necessary
- For the provision of the services above, a license notification from the national competent authority is not necessary
- For the provision of the services above, a license from the national competent authority is necessary
- For the provision of the services above, a license from the national competent authority is not necessary

National Competent Authority (if applicable)

Company Name

Registered Office

Address

Website

License ID

5 Settlement-related information (if applicable)

Categorization of the company

- Significant Institute (SI)
- Less significant Institute (LSI)

Competent resolution authority

Company Name

Registered Office

Address

Website

Emergency contact of the company

Contact Person Name

Company Name

E-Mail

Phone

6 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

7 Signatures

Trading Participant or representing agent

Place

Date

Name(s)

Position(s)

Signature(s)

Please send the Welcome Package Part 1 to membership@boerse-stuttgart.de.

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

Attachments

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

Contact Persons

1 Central coordinator

Contact Person Name

Company Name

E-Mail

Phone

2 Compliance

Contact Person Name

Company Name

E-Mail

Phone

3 Risk Controlling

Contact Person Name

Company Name

E-Mail

Phone

4 Trading

Contact Person Name

Company Name

E-Mail

Phone

Attachments

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

Statement Nominated Person

1 Nominated Person

Person acting in behalf of the company, in general

Contact Person Name

Company Name

E-Mail

Phone

National ID

Nationality

Address

2 Statement of reliability and professional qualification

- The nominated person 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 nominated person 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 nominated person 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 nominated person 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 Signatures

Nominated Person

Place

Date

Name(s)

Position(s)

Signature(s)

Attachments

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

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 Signatures

Trader

Place

Date

Name(s)

Position(s)

Signature(s)

Attachments

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

Notification on providing direct electronic access in form of direct market access

- Direct market access will be provided
- Direct market access will not be provided

Notification on pursuing algorithmic trading

- Algorithmic trading will be pursued
- Algorithmic trading will not be pursued

Attachments

Application for the admission to participate in trading – Companies (Welcome Package Part 1)

Billing information

1 Service recipient

Participant

The Service recipient corresponds to the participant (see under no. 1)

USt-ID

2 Invoice recipient Admission and participation fee

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

3 Invoice recipient settlement fee

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

4 Invoice recipient connection fee

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

5 Invoice recipient transaction fee

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

6 Invoice recipient contract note charge

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

7 Invoice recipient usage fee subscription functionality (if selected)

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

8 Invoice recipient usage fee for OTC interbank trade reports (if selected)

The invoice recipient corresponds to the service recipient (see under no. 1)

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

VAT ID

The written power of the attorney is attached

9 Signatures

Trading Participant or representing agent

Place

Date

Name(s)

Position(s)

Signature(s)

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Checklist

- | |
|---|
| <input type="checkbox"/> Proof of permission from the competent authority (if applicable) |
| <input type="checkbox"/> Proof of exemption from permission by the competent authority (if applicable) |
| <input type="checkbox"/> Proof of notification of permission (if applicable) |
| <input type="checkbox"/> Proof of exception to permit notification (if applicable) |
| <input type="checkbox"/> Current articles of association (notarially certified) |
| <input type="checkbox"/> Current excerpt from the commercial register or a comparable register from which the persons authorized to represent the company can also be seen (notarially certified) |
| <input type="checkbox"/> 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) |
| <input type="checkbox"/> Current copies of identification documents of the persons acting on behalf of the company |
| <input type="checkbox"/> Current curriculum vitae of the persons acting on behalf of the company |
| <input type="checkbox"/> Current organisation chart in case of complex participation structures |
| <input type="checkbox"/> Current annual financial statements (incl. proof of audit by an auditor) |
| <input type="checkbox"/> Current signature list |
| <input type="checkbox"/> Power of attorney invoice recipient (if applicable) |