



EIX Primary and Secondary Markets

M3: Authorised Trader Application Form

May 2019

How to complete this application form

This application form should be completed by Authorised Traders that seek access to the Estates and Infrastructure Exchange (“EIX”) trading platform.

It is essential to read this application form in conjunction with the EIX Rules for Members as published by the Exchange from time to time. (“Member Rules”)

If you would like to discuss the application process or the Member Rules in more detail, please contact the EIX Member Partner at investors@eix.global

EIX will keep confidential all information provided to it by the applicant and will apply its [Data and GDPR Policy] to the handling and storing of personal information. A copy of this policy can be found at eix.global.

Please return this form with all other documents required to:

Member Application Team
Estates and Infrastructure Exchange
107 Cheapside
London
EC2V 6DN

Authorised trader application form

A. Individual Details

Full name of individual

Date of birth

Private address

Qualifications (including any professional or business qualifications, membership of professional bodies and relevant associations)

Regulatory Approval

Have you been registered as a corporate finance of financial services practitioner by a regulated organisation(s) or recognised professional bodies. Please provide written evidence of such registration(s) or alternatively a brief explanation why no such registration is available or applicable in the relevant jurisdiction. In the UK please state whether you have passed, been grandfathered into, exempted or received a waiver as a CF30 or 'customer' function under the FCA's controlled functions regime.

Yes

No

B. Aquis Logon details

These details will be used to set up the individual user account on the EIX Trading Platform.

Email address

User name

IP Address

C. Declaration of Authorised Trader

I declare that I have not been subject to any disciplinary action by a regulator or law enforcement agency in the context of financial services or corporate finance and save as set out in this application, I have not been disqualified by a court from acting as a director of any company or from acting in the management or conduct of its affairs and have no unspent convictions in relation to indictable offences. I declare that the information supplied is complete, true, accurate and not misleading.

Name of Qualified Executive

Signature

Date

D. Declaration of Member Firm

I declare that the applicant is employed on a full-time basis by the Member and is authorised to trade on the EIX Primary and/or Secondary Markets on behalf of the named firm.

Name of duly authorised
Signatory for and
On behalf of the
Executives employers:

Signature

Date