



# EIX Primary and Secondary Markets

P3: Qualified Executive Application Form

May 2019

## How to complete this application form

This application form should be completed by Qualified Executives employed at a recognised EIX Pilot firm seeking admission to Estates and Infrastructure Exchange (“EIX”).

It is essential to read this application form in conjunction with the **EIX Rules for Pilots** as published by the Exchange from time to time.

If you would like to discuss the application process or the Pilot Rules in more detail, please contact the EIX Pilot Partner at [pilots@eix.global](mailto:pilots@eix.global).

EIX will keep confidential all information provided to it by the applicant in relation to its application except to the extent that disclosure of any of all of the information is necessary for the exercise of its regulatory duty or is otherwise required by law.

Please return this form with all other documents required to:

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

# Qualified Executive 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. Employment History

Please provide details of your employment history over the last 10 years, most recent first.

Dates from/to	Name and address of organisation	Position held and description of responsibilities

## C. Transaction History

Describe completed “Relevant Transactions” as defined in the EIX Pilot Rules including full details of the role undertaken in relation to the transaction.

Transaction Description	Details of work undertaken by applicant	Date of Transaction

## D. Declaration of Qualified Executive

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

## E. Declaration of Pilot

I declare that the applicant is employed on a full-time basis by the Pilot and has undertaken the work outlined under Section C.

Name of Signatory  
Authorised for and  
On behalf of the  
Executives employers:

Signature

Date