

APPLICATION FOR MEMBERSHIP

How to use this Application Form

1. Applicants must submit a completed Application Form together with any supporting documents to :

The Chief Executive
Malta Stock Exchange Plc
Garrison Chapel
Castille Place
Valletta VLT 1063

2. The Application should be read in conjunction with the Financial Markets Act [Cap 345 of the Laws of Malta] and any regulations made thereunder and the Bye-laws of the Malta Stock Exchange plc [available on www.borzamalta.com.mt].
3. Applications will only be considered provided that all relevant sections have been duly completed and supporting documents have been appended.
4. Should space provided not be sufficient, additional information may be entered on a separate sheet with the heading "*Continuation to Section ____*" duly signed and dated.
5. Misleading or incorrect information on any material point shall render the application invalid.
6. All information submitted in the application is for the sole use of the Exchange and will not be divulged to third parties other than the Competent Authority as deemed appropriate.

NOTE

This Application Form must be completed by applicants falling within the definitions outlined in Bye-law 3.00.01.01 and 3.00.01.02.

In the case of applicants falling within the definition outlined in Bye-law 3.00.01.03, the Exchange will need to evaluate applicants as being "fit and proper" as well as undertake a due diligence exercise. Applicants within this category would, therefore, be required to present relevant documentation and to complete Personal Questionnaires as necessary in order for the Exchange to complete such evaluations.

Applicants falling within this category should contact the Exchange for further details [compliance@borzamalta.com.mt].

1.00 SECTION 1 - MEMBER

1.01 Applicant's Name : _____

1.02 I.S.A. License Ref No.
Or equivalent authorisation: _____

[Kindly attach a copy of such license/authorisation]

1.03 **Registered Address*** :

Address : _____

Telephone No : _____

Fax No : _____

E-mail : _____

** The above information will appear on the Exchange's List of Licensed Members and all communications will be addressed accordingly.*

2.00 SECTION 2 – DIRECTORS, OFFICERS AND EMPLOYEES

2.01 **Chairman and Directors of Member**

CHAIRMAN Full Name and Surname _____

Identity Card / Passport No _____

Date of Appointment _____

APPENDIX 3.1

DIRECTOR	Full Name and Surname	_____
	Identity Card / Passport No	_____
	Date of Appointment	_____
DIRECTOR	Full Name and Surname	_____
	Identity Card / Passport No	_____
	Date of Appointment	_____
DIRECTOR	Full Name and Surname	_____
	Identity Card / Passport No	_____
	Date of Appointment	_____
DIRECTOR	Full Name and Surname	_____
	Identity Card / Passport No	_____
	Date of Appointment	_____

2.02 **Officers and Employees**

[Including Chief Executive, Managing Director, Secretary to Board as applicable and other employees holding a position of trust within the Member firm.]

<u>Full Name & Surname</u>	<u>Position</u>	<u>ID Card No./ Passport No.</u>	<u>Date of Appointment</u>
_____	_____	_____	_____
_____	_____	_____	_____

Kindly attach the appropriate Board Resolution in respect of the above appointment/s

2.05 Security Administration Officer

Full Name and Surname

Identity Card No/Passport No.

Date of appointment :

Specimen Signature :

Kindly attach the appropriate Board Resolution in respect of the above appointment/s

3.00 SECTION 3 - SHAREHOLDING

Give details of the shareholding in the firm applying for membership and any voting rights attached thereto of each of the individuals mentioned in Section 2 above where applicable [a "NIL" reply is required where no shareholding is applicable].

<u>Full Name & Surname</u>	<u>Position</u>	<u>ID Card / Passport No</u>	<u>Shareholding</u>	<u>Rights</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

4.00 SECTION 4 – OTHER BUSINESS INTERESTS

On the supplementary sheets, kindly provide answers to the following questions for each of the individuals mentioned in Section 2 above [“NIL” returns are also required where applicable].

- (i) Are you a director, officer or employee of any companies or corporations engaged in relevant activities to that of the applicant Member?

YES

NO

If YES, please provide details.

- (ii) Do you have any controlling interest, directly or indirectly in any public company?

YES

NO

If YES, please provide details.

5.00 SECTION 5 - DECLARATION

Declaration by Applicant

1. We / I declare that the information contained in this application is complete and correct.

2. We / I declare that the Member, his officers and employees are aware of the provisions of the Act, any regulations made thereunder and the Bye-laws that may be in force from time to time and will comply with and be bound by all such relevant provisions.
3. We / I declare that the Member shall be responsible for and be bound by all the actions and omissions of its officers and employees in their activities in connection with Malta Stock Exchange plc.
4. We / I declare that the Member shall keep Malta Stock Exchange plc notified of any significant changes in the information supplied in this application which occur after the date of submission of the application and prior to receiving notification of the Malta Stock Exchange plc's decision.
5. We / I declare that the applicant has presented Personal Questionnaires to the Competent Authority and has received appropriate approvals in respect of the officers mentioned in Section 2 and Section 6 of this application, except for

_____.

Name in Blocks

Name in Blocks

Signature: _____

Signature: _____

Designation: _____

Designation: _____

Signed on behalf of [name of applicant member] _____

on [date] _____.

6.00 SECTION 6 - TRADERS

6.01 Attached please find ____ application/s in respect of [names] _____
_____ who have been appointed by the applicant to act as traders on its behalf [Board Resolution Ref No _____ dated _____].

7.00 SECTION 7 - FEES

Attached please find :

Cheque No : _____

Bank: _____

Dated : _____

Amount : _____

in respect of Membership / trader fees in terms of Exchange Notice No 1 – Fees & Other Charges.

ADDENDUM

1. The Central Bank of Malta should complete only Sections 1.01, 1.03, 2.04, 2.05, 5.00, 6.00 and 7.00.
2. The Board of the Malta Stock Exchange plc may exempt prospective applicants from completing any of the Sections of this application.