

**Application for Admission as Exchange Trader
for an Indefinite Period of Time**



In advance by FAX +49 (0) 711-222985-91497

Baden-Württembergische
Wertpapierbörse
- Management Board -
Listing Department
Börsenstraße 4
D-70174 Stuttgart

(Name of the applying company)

(Address)

(Address)

(VAT ID)

(First Name, Surname of the contact person)

(Telephone number)

(Fax number)

(E-mail)

Application for the Admission as Exchange Trader for an Indefinite Period of Time at the Baden-Württembergische Wertpapierbörse (Stuttgart Stock Exchange)

- I. For the person named below we hereby apply for admission to become an Exchange Trader with the authorisation to conclude trades on the Stuttgart Stock Exchange on behalf of the above mentioned company, pursuant to section 19 (1) and (5) of the German Exchange Act (Börsengesetz, BörsG), section 12 and 14 of the Exchange Rules (Börsenordnung, BörsO) of Stuttgart Stock Exchange and section 1 – 3 and 3 a) of the Regulations for the Admission of Exchange Traders at the Stuttgart Stock Exchange (Zulassungsordnung für Börsenhändler an der Baden-Württembergischen Wertpapierbörse):

(Surname, First Name of Trader)

(Telephone/ Fax)

(E-mail)

(Home Address)

(Personal Identification Number / User ID / Xontro-Sub-ID (section 13 (7) of the Exchange Rules))

II. We declare

- a) that the person named above is informed of all relevant legal provisions for trading on the Stuttgart Stock Exchange and
- b) that the person to be admitted is reliable and has the necessary professional qualification for exchange trading. There are no known circumstances that would lead to concerns regarding the personal reliability and/ or the professional qualification or can be interpreted as an indication thereof. In case such circumstances do arise after the admission as an exchange trader we will immediately inform the Management Board of the Stuttgart Stock Exchange as soon as we get knowledge of it and/ or we will withdraw the admission.

III. Personal declaration of the person to be admitted:

I hereby assure

- a) that no legal proceedings or monetary fine proceedings on charges of crime or offence against sections 261, 263a, 264a, 265b - 271, 274, 283 - 283d, 299 or 300 of the German Penal Code („Strafgesetzbuch“) or violation of the German Banking Act („Kreditwesengesetz“), the German Securities Trading Act („Wertpapierhandelsgesetz“), the German Stock Exchange Act („Börsengesetz“), the German Safe Custody Act („Depotgesetz“), the German Money Laundering Act („Geldwäschegesetz“) or the German Investment Act („Investmentgesetz“) in their respectively valid versions are underway against me,

(Section 2 (1) sent. 2 b) aa) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

- b) that I have not been finally convicted of such actions nor do I have a final administrative order imposing a fine been issued against me,

(Section 2 (1) sent. 2 b) bb) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

- c) that I am (or a company managed by me is) not and have (has) not been involved as a debtor in insolvency proceedings or in proceedings to obtain the filing of an affidavit or comparable proceedings.

(Section 2 (1) sent. 2 b) cc) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

Note on number III a) to c):

If one of the declarations can only be made under restrictions, the respective section has to be marked and the explanation has to be handed in on a separate sheet of paper.

Once admitted, I undertake to notify the Board of Management, without undue delay, of any facts that would question my reliability according to section 2 (1) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange.

(Section 2 (2) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

I am informed about all relevant legal provisions for trading on the Stuttgart Stock Exchange.

Authorisation:

I hereby authorise the company by which I have been employed recently to provide information, beyond a job reference, relating to facts according to number III a) to c) which are relevant for the judgement of my reliability to the Management Board of the Stuttgart Stock Exchange.

(Section 2 (1) sent. 2 b) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

IV. Attached you will find:

- ☐ A complete signed resume

(Section 2 (1) sent. 2 a) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

- ☐ Evidence/ documentation of professional qualification (e.g. certificate of Trader's examination)

(Sections 3, 3 a) Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

- ☐ Evidence/ documentation of existing admission at another securities exchange (copy of the notice of admission)

(Section 4 Regulation for the Admission of Exchange Traders at the Stuttgart Stock Exchange)

For the avoidance of doubt: Please note that these documents are provided for convenience purposes only. The German Versions prevail as the arrangements are purely governed by German Law. In particular Stuttgart Stock Exchange does not intend to provide any legal advice through the translation and rejects any responsibility for actuality, accuracy and completeness. The participant may seek for legal advice on his own discretion.

(Place and Date)

(Applicant's signature)

(Place and Date)

(Company stamp and authorised signature)