

# NASDAQ OMX°

# NASDAQ OMX MEMBERSHIP APPLICATION

We			are		
applying for membership to the following exchanges and markets:					
NASDAQ OMX COPENHAGEN	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX HELSINKI	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX ICELAND	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX RIGA	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX STOCKHOLM	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX TALLINN	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX VILNIUS	EQUITIES	FIXED INCOME	FIRST NORTH		
NASDAQ OMX DERIVATIVES MARKETS (GENIUM INET)*	EXCHANGE MEMBER	CLEARING MEMBER			

<sup>\*</sup> Choice of markets and product to trade is made at a later stage in the membership process

# TYPE OF DERIVATIVES MEMBERSHIP

Non Clearing Member (NCM)

Direct Clearing Member (DCM)

General Clearing Member (GCM)

# WE INTEND TO TRADE

(Please select all that apply and please state the market the information is relevant to).

	XCSE	XHEX	XICE	XRIS	XST0	XTAL	XVIL	DERIVATIVES
CUSTOMER ACCOUNTS								
OWN ACCOUNT								
AS MARKET MAKER								
OFFER DIRECT MARKET ACCESS								
OFFER SPONSORED ACCESS								
ALGORITHMIC TRADING								
WARRANTS								
AS LIQUIDITY PROVIDER								
AS INTER DEALER BROKER								
						•		

# PRICE LIST CHOICE (EQUITY MARKET ONLY)

	EQUITY PRICE LIST			WARRANT PRICE LIST		
	1	2a	2b	1	2	3
NASDAQ OMX COPENHAGEN						
NASDAQ OMX HELSINKI						
NASDAQ OMX STOCKHOLM						

There is one specific price list for the exchanges below. Please confirm that the applicant is aware of that exchange's price list.

NASDAQ OMX TALLINN

NASDAQ OMX RIGA

NASDAQ OMX VILNIUS

NASDAQ OMX ICELAND

# INFORMATION AND DOCUMENTS TO BE INCLUDED WITH THIS APPLICATION FOR MEMBERSHIP

# 1. BANKING INFORMATION

COMPANY REGISTRATION AND BANKING DATA
COMPANY NAME
COMPANY ADDRESS
GENERAL E-MAIL ADDRESS
WEB ADDRESS
SWITCHBOARD TELEPHONE NUMBER
COMPANY BANKING DATA
BILLING ADDRESS IF DIFFERENT FROM COMPANY ADDRESS
VAT NUMBER
COMPANY NUMBER
SWIFT/BIC CODE
BILLING REFERENCE PERSON

Please confirm if you agree to receive all invoices prepared by the NASDAQ OMX Riga, NASDAQ OMX Tallinn, NASDAQ OMX Vilnius exchanges in accordance with the agreements signed between the exchanges and the company to the company's e-mail address specified below. With the confirmation the company agrees to treat the electronically received invoices with no signature equally to the invoices received via regular mail.

 $Company's \ e-mail\ address\ to\ which\ the\ NASDAQ\ OMX\ Riga,\ NASDAQ\ OMX\ Tallinn,\ NASDAQ\ OMX\ Vilnius\ exchanges\ shall\ send\ all\ the\ invoices$ 

#### TRADE CANCELLATION EMAIL ADDRESS (MANDATORY FOR DERIVATIVES EXCHANGE MEMBERS)

Please state one e-mail address to be used by the Exchange to inform you of transactions that are being investigated for potential cancellation or adjustment and of the final outcome of such investigations, including any decision to cancel or amend specific transactions. The addresses will be used by the Exchange surveillance team when communicating with trading participants in connection with requests for trade cancellations or price adjustments. These procedures relate to trading in derivatives products only and all communication will be handled by e-mail. We will register only one address per participant and we strongly encourage members to submit non-personal addresses, e.g. distribution lists that are populated with the relevant internal users and that is subject to internal periodical reviews in order to secure that the relevant persons within your organization will be duly informed should an incident occur.

	LEGAL ENTITY IDENTIFIER (LEI) (DERIVATIVES MEMBERS)
	If the applying legal entity is subject to EMIR trade reporting, please state the correct Legal Entity Identifier (LEI) to be used for this purpose.
2.	DATE AND PLACE OF INCORPORATION OF APPLICANT
3.	PREFERRED MARKET PARTICIPANT ID
4.	REGULATORY AND COMPLIANCE INFORMATION
	Home Supervisory Authority:
	The applicant confirms that the Supervisory Authority has been informed of this application
	Yes
	Will cross-border investment services be provided to the residents of any of the markets?
	Yes No
5.	CAPITAL INFORMATION
	Share capital
	Tied-up reserves

6.	SHAREHOLDERS
	List each shareholder owning more than 5% of the share capital of the applying company. Specify the number of shares and percentage of all outstanding shares with voting rights for each shareholder in the list. Additionally, any individual or company directly or indirectly owning more than 50% of the applying company shall be presented in the same manner.
7.	MEMBERSHIPS  Memberships of other Exchanges, Clearing Organisations, Trade Associations, Regulatory Bodies and date entered into such membership:
8.	GENERAL DESCRIPTION  General description of applicant's business activities and intended trading activities with NASDAQ OMX:

# 9. TECHNICAL INFORMATION

#### EQUITY (INET) AND FIXED INCOME (GENIUM INET) TRADING SYSTEM

Which point of connection to INET/GENIUM INET does the Applicant intend to use:

COPENHAGEN	HELSINKI	ICELAND	RIGA			
STOCKHOLM	TALLINN	VILNIUS				
TRADING AND BACK OFFICE	E APPLICATIONS					
EquitiesTrading Application						
Name of trading application us	sed by Applicant:					
Number of H0STS/servers at Applicant's trading-application						
Derivatives Trading and Back						
Name of trading application us	sed by Applicant:					
Name of back office application	on used by Applicant:					
Fixed Income Trading and Bac	ck Office Application					
Name of trading application us	sed by Applicant:					
Name of back office application	on used by Applicant:					

# 10. CLEARING AND SETTLEMENT INFORMATION (EQUITIES ONLY)

We will trade only equities that are eligible for CCP clearing (please fill in Parts 1 & 2 below).

We will trade only equities that are not CCP cleared (please fill in Part 2 below).

We will trade equities that are eligible for CCP as well as those not CCP cleared (please fill in Parts 1 & 2 below).

#### PART 1 - CLEARING AT CENTRAL COUNTERPARTY

Which type of participant will the applicant have at the Central Counterparty appointed by NASDAQ OMX Nordic

	GENERAL CLEARING PARTICIPANT	DIRECT CLEARING PARTICIPANT	NON-CLEARING Participant	NAME OF GENERAL CLEARING PARTICIPANT (IF NCP)
COPENHAGEN				
HELSINKI				
STOCKHOLM				

<sup>\*</sup>Iceland, Riga, Tallinn and Vilnius and does not have Central Counterparty clearing.

#### PART 2 - SETTLEMENT

CLEARING OF EQUITIES THAT ARE NOT CCP ELIGIBLE: Such equities are not cleared at a CCP. They are settled directly at the CSD (Central Securities Depository).

How will you settle at the Central Securities Depository (CSD) on the markets of which you are applying for membership:

NAME OF CSD	DIRECT MEMBERSHIP OF CSD*	THROUGH A CUSTODIAN ON OUR OWN ACCOUNT**	THROUGH A CUSTODIAN, BUT NOT ON OUR OWN ACCOUNT***	NAME OF CUSTODIAN
VP SECURITIES DENMARK				
THE ESTONIAN CSD				
EUROCLEAR HELSINKI				
THE ICELANDIC SECURITIES DEPOSITORY				
THE LATVIAN CENTRAL DEPOSITORY				
THE CENTRAL SECURITIES DEPOSITORY OF LITHUANIA				
EUROCLEAR STOCKHOLM				

# ADDITIONAL DOCUMENTATION MIGHT BE REQUIRED BY THE LOCAL CSDS.

- \* Applicant will contact the local CSD and apply for direct membership
- \*\* Applicant will contact the Custodian to ensure the correct set up in own systems, as well as those of Custodian and CSD. Please state the name of the Custodian.
- \*\*\* Applicant will contact Custodian to ensure the correct set up in own systems, as well as those of Custodian and CSD. Please state the name of the Custodian.

# 11. SENIOR MANAGEMENT AND CONTACT PERSONS

TITLE	NAME	TEL. NUMBER	E-MAIL ADDRESS
BOARD OF DIRECTORS			
CEO			
HEAD OF COMPLIANCE			
HEAD OF TRADING			

TITLE	NAME	TEL. NUMBER	E-MAIL ADDRESS
HEAD OF BACK OFFICE			
HEAD OF RISK CONTROL			
TECHNICAL RESPONSIBLE			
CONTACT PERSON FOR TRADER AUTHORIZATION			
CONTACT PERSON FOR FINANCIAL INFORMATION			
OTHER CONTACTS			
CONTACT PERSONS FOR E.G. TRADER APPLICATIONS ETC.			
DERIVATIVES OPERATIONS COLLATERAL CONTACT			
DERIVATIVES OPERATIONS SETTLEMENT CONTACT			
DERIVATIVES OPERATIONS TRADING CONTACT			

Please state if there are different contact persons for Equities, Derivatives and Fixed Income

# 12. APPENDICES TO BE ENCLOSED

Please send in the completed application with supporting documentation (all appendices described below) electronically or by post to your contact at NASDAQ OMX. NASDAQ OMX requires the documentation in English or in a Nordic or Baltic language, in order for us to assess the application and approve the membership.

Copy of the relevant authorizations to provide investment services in the relevant jurisdictions (FSA approval) applicable only to regulated members.

Financial statements for the previous year and if available, the most recent interim report.

Copy of the company's Articles of Association

Copy of the company's Certificate of Incorporation (max 2 months old)

List of authorized signatories including signature evidence and signature specimens for the persons that will sign the agreements.

Description of the ownership structure (If the applicant is part of a group of companies and if it is not in the financial statement). The names of other group of companies and the applicant's relationship to those companies should be clearly indicated.

#### ADDITIONAL FORMS TO BE ENCLOSED

Additional Information Form, applicable only to Unregulated Members

Verification of custody bank for bilateral clearing of trades

To be signed by any NASDAQ OMX Exchange Member that wishes to trade securities that are bilaterally cleared and settled at a CSD where the member does not hold full membership of the CSD. The custody bank must also sign the form to acknowledge that they assume the responsibility for the trades.

Risk Management questionnaire, applicable only for Derivatives DCM and GCM membership applications.

General settlement information form, applicable only for the Baltic markets

#### **ACKNOWLEDGEMENT**

We hereby declare that the information provided herein is complete and accurate and we agree, if approved, to continuously comply with the application criteria and requirements for membership of the exchanges and markets applied for this application.

We acknowledge that each relevant NASDAQ OMX exchange has the right to request any additional information it deems necessary for the purposes of assessing compliance with the applicable pre-conditions for membership.

We undertake to notify each relevant NASDAQ OMX exchange immediately of any changes in the information provided in this application which occur after the date of submission of the application.

We here confirm that we have the requisite risk management routines in place.

NASDAQ OMX may require further/updated information and/or documentation.

DATE		
APPLICANT	TITLE	
AUTHORIZED SIGNATURE	NAME IN PRINT	

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