

EXCHANGE TRADER APPLICATION FOR CASH MARKET

Member Firm:

Name of the Exchange Trader:

Date of birth:

Exchange Trader's office Phone number (including country code):

Exchange Trader's E-mail:

Date of completed SAXESS training course (including examination):

If the exchange trader is located in Sweden, a copy of valid SwedSec license shall be enclosed to the application

The authorization shall apply to: ☐ Equity related ☐ Fixed income related instruments

on the following markets (membership on the respective exchange is required)

☐ NASDAQ OMX Copenhagen* ☐ NASDAQ OMX Riga ☐ Oslo Børs

☐ NASDAQ OMX Iceland* ☐ NASDAQ OMX Tallinn

☐ NASDAQ OMX Helsinki* ☐ NASDAQ OMX Vilnius

☐ NASDAQ OMX Stockholm *

☐ NASDAQ OMX Stockholm, First North Finland only*

User account specifications (applicable only NASDAQ OMX Nordic markets):

☐ Optional Clearing Allowed ☐ Self Clearing Allowed ☐ No Optional and Self Clearing allowed

In accordance with the Norex Member Rules 4.4.3 (or corresponding local rulebooks and clauses), the member is responsible for ensuring that the Exchange Trader possesses the following requirements:

- At least 6 months experience in securities trading;
- Documented knowledge regarding the Exchange(s)' trading rules and other legislation governing trading;
- Documented knowledge of economics, financial markets, and financial analysis;
- Has taken and passed a test organized by the Exchange(s) in trading in the Trading System

It is hereby confirmed that the above-mentioned person fulfils the requirements stated above and that the person possesses the qualifications and experience, as well as is deem fit and suitable, to be registered as a Exchange Trader according to the membership agreement.

.....
Date

.....
Authorized Signature

.....
Signature (Trader)

.....
Name in print

Contact person for the application:

Contact person's E-mail:

Please submit this form to Member Services via fax on + 372 640 8814 or by e-mail to memberservices@nasdaqomx.com

Personal data which the trader submits in connection therewith is dealt by the Exchanges within NASDAQ OMX ("NASDAQ OMX") for the purposes of the preparation and administration of the mandate. Personal data will only be used for administrative reasons and to inform the trader about NASDAQ OMX's activities. If a trader wishes to receive information on the personal data relating to him or her which is held by NASDAQ OMX, the trader can request such information from NASDAQ OMX by writing to the following address: NASDAQ OMX, 105 78 Stockholm, Sweden. If a trader wishes to correct inaccurate or misleading information, he/she can contact NASDAQ OMX on the above address.

*Including access to the OTC publication service if the member hasn't asked to be excluded from this service.