

Template for *regulated* companies

FINMA Application for Authorisation as a Remote Member of SIX Swiss Exchange AG

This template is intended to assist firms not domiciled in Switzerland in their application to the Swiss Financial Market Supervisory Authority (FINMA) for a license as a remote member.

This form does not constitute a legal right to the granting of authorization as a remote member. It is based on the guidelines of the Swiss Financial Market Supervisory Authority (FINMA) (www.finma.ch) and lists the information and documents that customarily serve as the basis for the granting of authorization. This does not exclude the possibility that in individual cases the applicant may provide or be required by FINMA to provide further information and documentation.

FINMA accepts applications in the following languages: German, French, Italian and English.

Application Form for Authorization as a Remote Member

Name and Address of Applicant

Company Name:

Street:

No.:

City/Town:

ZIP Code:

Country:

Tel.:

Webpage:

Name of Compliance Officer

First Name and Last Name:

Tel.:

Email:

Name and Address of the Competent Supervisory Authority

Company Name:

Street:

No.:

City/Town:

ZIP Code:

Country:

Tel.:

Webpage:

Composition of the Applicant's Board of Directors and Senior Management

Board of Directors

Last Name	First Name	Title	Since

Senior Management

Last Name	First Name	Title	Since

Information About the Purpose of the Applicant's Company

(e.g. objectives, fields of operation, activities, etc.)

Information About the Applicant's Planned Activities in Switzerland

(e.g. trading activities)

Information About Branch Offices or Subsidiary Companies

Are any branch offices or subsidiary companies situated in Switzerland?

Yes No

If yes: please indicate name and exact address.

Name of Branch Office or Subsidiary Company:

Street:

No.:

City/Town:

ZIP Code:

Country:

Tel.:

Webpage:

Declaration and Recording of Contemplated Securities Transactions

The securities transactions conducted on SIX Swiss Exchange may not be intermixed with the other activities of the subsidiary or branch office in Switzerland, but instead must be clearly separated from those other activities. The reporting and journal-keeping obligations are to be fulfilled at the registered office of the applicant. The same applies to all backoffice activities of the applicant.

Domicile of Service in Switzerland

Art. 11b Swiss Administrative Procedure Act, APA (Verwaltungsverfahrensgesetz, "VwVG") requires an applicant for authorisation as a foreign participant in a Swiss trading venue to maintain an domicile for service in Switzerland. This provision applies to any formal application filed by a foreign person/legal entity to a Swiss authority.

A domicile for service is an address in Switzerland to which a Swiss authority may deliver a decree and an invoice. It does not necessarily need to be a Swiss law firm.

Name of Domicile of Service in Switzerland:

Street:

No.:

City/Town:

ZIP Code:

Country:

Tel.:

Webpage:

Relevant Documents That Must Be Enclosed with the Application

- Confirmation from the foreign supervisory authority (original document)

The document must be sent to the following address:

Swiss Financial Market Supervisory Authority FINMA
Legal Market Infrastructures
Laupenstrasse 27
CH-3003 Bern
Switzerland

The foreign supervisory authority must confirm in writing that:

- a) the foreign securities trader is subject to appropriate supervision in the country of domicile;
- b) the competent foreign supervisory authority does not object to the foreign securities trader operating in Switzerland;
- c) the competent foreign supervisory authority is able to give official assistance to FINMA.

- Copy of the organizational regulations
- Organizational chart of the company or the company group
- Copy of the extract from the Commercial Register
- Latest annual report, including balance sheet and income statement
- Representative's power of attorney (original document) if applicable
- A copy of the domicile country's applicable provisions pertaining to the code of conduct and compliance with the journal-keeping and reporting obligations of a securities dealer. The competent supervisory authority can be of further assistance if necessary.
- Auditor's statement
- Signatory list certified by compliance (Please ensure that all signatories on this application form are part of the signatory list)
- _____
- _____
- _____

1. Place and Date	Name	Legally Binding Signature
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2. Place and Date	Name	Legally Binding Signature
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This document and all enclosed relevant documents must be sent to the following address:

Swiss Financial Market Supervisory Authority FINMA
Legal Market Infrastructures
Laupenstrasse 27
CH-3003 Bern
Switzerland