


APPLICATION FOR MEMBERSHIP

We _____ apply for membership of the following exchanges and markets:

	Equities (SAXESS)	Derivatives (CLICK)	Fixed Income (SAXESS)
 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COPENHAGEN ICELAND STOCKHOLM HELSINKI			
NASDAQ OMX Copenhagen	<input type="checkbox"/>		<input type="checkbox"/>
NASDAQ OMX Helsinki	<input type="checkbox"/>		
NASDAQ OMX Iceland	<input type="checkbox"/>		<input type="checkbox"/>
NASDAQ OMX Stockholm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The application will be forwarded to the exchanges chosen.

- We intend to trade:**
- More than one choice can be made
- Customer accounts
 - Own account
 - Automated Trading
 - Automatic Order Routing
 - Warrants (applicable only on NEH, OSE and NES)
 - First North
 - Market Maker (derivatives membership required)

Information and documents to be included with application for membership:

1) Name, address and registration number of applicant:

2) Date of incorporation of applicant: _____

3) Supervisory Authority:

4) Financial information:

Share capital : _____

Other tied up capital: _____

5) The 10 largest shareholders including percentage of ownership

- 6) **Memberships of other Exchanges, Clearing Organisations, Trade Associations, Regulatory Bodies and date entered into such membership:**

- 7) **If the Applicant is part of a group of undertakings, the names of other group undertakings and the applicant's relationship with those undertakings should be clearly set out and attached to this application.**

- 8) **Will the applicant have branch offices conducting trades on the OMX or NOREX exchanges**

- 9) **General description of Applicant's business activities**

- 10) Please state the motivation for application and intended strategies for the Nordic market(s)

Clearing and settlement information

- 11) Does the applicant intend to become an account operator or/and clearing member with the Danish Securities Centre (VP)/ The Finnish Securities Depository (APK)/The Icelandic Securities Depository (VS)/The Norwegian Central Securities Depository (VPS))/The Swedish Central Securities Depository (VPC)

- Yes
- No, the applicant plans to use Custody service offered by:

(Custodian Institution)

- 12) Senior Management, Board of Directors and contact persons:
(please fill out the appendix 1)

We hereby certify that the information submitted is complete and accurate. If admitted as an exchange member we undertake to continuously satisfy the applicable criteria for obtaining membership of the OMX or NOREX Exchanges and to notify the OMX or NOREX Exchanges of any subsequent change in the information submitted

Date: _____

Applicant: _____

Authorised signatures

Names in print

Appendices to be enclosed:

List of Senior Management, Board of Directors and contact persons (Appendix 1)

Copy of the relevant authorisations to provide investment services in the relevant jurisdictions

Financial statements for the last year (if possible) and, if prepared, the last interim report

The company's Articles of Association

Copy of the company's Certificate of Incorporation

Confirmation of membership of relevant securities depository(s) or contract with a member thereof and a flow chart describing the settlement procedures

Copy of document concerning required security deposits (Oslo Börs only)

The OMX or NOREX Exchange(s) may require further information and/or documentation

Appendix 1

Senior Management and contact persons:

(Name, telephone number and e-mail address)

Board of Directors:

CEO

Head of Trading

Head of Compliance

Technical responsible for SAXESS

Person responsible for risk control

Contact person in this case

Other contacts:

Appendix 2

Relevant for the SAXESS Trading System

Which point of connection to SAXESS does the Applicant intend to use:

- Copenhagen
- Iceland
- London
- Oslo
- Stockholm
- Helsinki

Name of certified trading-application used by Applicant:

Number of HOSTS/servers at Applicant's trading-application
