



Reporting Participant application form

Applicant:

Name: _____

Registered Address: _____

Billing Address: _____

(Phone / Fax / Website): _____

E-Mail: _____

Main contacts (full name, job title, phone, e-mail)

Notices _____

Billing/Payment _____

Trading _____

Compliance _____

Secondary contacts (full name, job title, phone, e-mail)

Notices _____

Billing/Payment _____

Trading _____

Compliance _____

Excerpt from the BX Swiss (BX) participants rules:

- 2.7. Reporting participants a. are all other Swiss securities dealers (not BX trading participants) or remote participants of a Swiss stock exchange hereto licensed according to Art. 53 and Art. 53a SESTO or others subject to reporting duty; b. are not trading participants of BX; c. are granted access to BX systems to comply to reporting duties according to SESTA.
- 5.1. Participants may be admitted as reporting participants upon request.
- 5.2. Reporting participants are entitled to report to BX reporting office off-exchange trades (trade reports) and order transmissions (transaction reports).
- 5.3. BX notifies the reporting participant a login and a password to input reports into BX systems.
- 5.4. Reporting participants may report to BX or to a BX registered Trade Data Monitor (TDM).
- 5.5. Reports are rendered in accordance with BX reporting rules and directives.
- 5.6. Reporting participants are committed to pay BX reporting fees.

We hereby apply to become a reporting participant of BX Swiss in accordance with BX Swiss rules and regulations and declare that we have read, understood, shall recognise and comply to BX Swiss rules and regulations including BX Swiss messages as valid at any given time.

Place and date _____ Name(s), function(s) and valid signature(s) of applicant _____

Please return the completed and duly executed reporting participant application form by both

1. Ordinary mail BX Swiss AG, Löwenstrasse 2, CH 8001 Zürich, Switzerland
2. E-Mail office@bxswiss.com