

## SWX Swiss Exchange Clearing Only Participant membership in SWX Swiss Exchange

We hereby apply for admission as Clearing Only Participant (“COP”) pursuant to the SWX Swiss Exchange rules and regulations and the General Conditions governing securities trading and clearing only participation on the SWX Swiss Exchange, as well as in accordance with the information provided below.

Admission as COP at SWX only entitles the participant to retrieve information which it requires for fulfilling its function as general clearing member (GCM) for other trading participants of SWX that are themselves not a clearing member of an SWX recognised central counterparty (hereinafter “CCP”). Access to the SWX Platform for these purposes is optional.

For this purpose, we have enclosed herewith all required documentation as set forth in this application:

### 1. Institution

We herewith apply for admission to SWX Swiss Exchange as a COP:

Name of applicant		
Full address		
Tel.	Fax	Homepage address (if any)
Parent company (if any)		

### 2. Central Counterparty

We are a member of x-clear

### 3. Trading information feed

We intend to have:

- direct access to the SWX Platform:
- access via group member. Name of group member firm:
- access via gateways (please complete Appendix A)
- access via SWX recognized connectivity provider (please complete Appendix B)

- or -

link to SIS x-clear for clearing information only

- or -

other. Please give details:

**4. Administrative information**

a) Business co-ordinator

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Tel.	Fax.
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E-mail

b) Person in charge of clearing

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Tel.	Fax.
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E-mail

c) Person in charge of settlement

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Tel.	Fax.
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E-mail

d) Compliance Officer

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Tel.	Fax.
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E-mail

## 5. Declaration

**We hereby declare that we have read and understood the SWX rules and regulations, the SWX General Conditions as well as the arbitration and jurisdiction clauses therein. We further declare that we shall recognize and comply with the SWX rules and regulations, the SWX General Conditions (particularly Section 1.3 “Own funds”), the arbitration and jurisdiction clauses as well as the SWX messages as valid at any given time.**

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Place and date

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Name and valid signature(s) of the Applicant

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Name and valid signature(s) of the Applicant

Enclosures

**Appendix A: Administrative information (SWX Trading System interconnection)**

a) Technical coordinator

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Tel.	Fax.
E-mail	

b) In house electrician

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Tel.	Fax.
E-mail	

c) External electrician

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Tel.	Fax.
E-mail	

d) Recipient of SWX CVI Webserver login information

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Tel.	Fax.
E-mail	

e) Third-party IT support providers (contractual)

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Tel.	Fax.
E-mail	

**Appendix B: Administrative information (connectivity via an SWX recognized Connectivity Provider)**

For a list of SWX recognized Connectivity Providers, please go to [http://www.swx.com/trading/participants/admissions\\_provider/list\\_en.html](http://www.swx.com/trading/participants/admissions_provider/list_en.html)

**FIX CONNECTIVITY PROVIDER (FCP) interconnection**

a) Address of the SWX-recognized FCP:

_____	
Name of the FCP	
_____	
Address	
_____	
_____	
_____	
_____	_____
Tel.	Fax.

b) Technical coordinator applicant firm

_____	
Tel.	
_____	
Fax.	
_____	
E-mail	

c) IP Address

Please contact your provider for this information

_____
Test
_____
Production

**Network Connectivity Provider (NCP)**

a) Address of the SWX-recognized NCP:

\_\_\_\_\_  
Name of the NCP

\_\_\_\_\_  
Address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Tel.

\_\_\_\_\_  
Fax.

b) Technical coordinator applicant firm

\_\_\_\_\_

\_\_\_\_\_  
Tel.

\_\_\_\_\_  
Fax.

\_\_\_\_\_  
E-mail

**Declaration**

We herewith expressly acknowledge that - as set forth in the General Conditions of the SWX Swiss Exchange - we assume all responsibility and liability vis-à-vis SWX for any and all acts and/or omissions of Connectivity Providers commissioned by us.

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Name and valid signatures of the Applicant

\_\_\_\_\_  
Name and valid signatures of the Applicant

**Appendix C: Documents submitted, including those mentioned herein**

- a) Current excerpt from the commercial register, certified by a court or a notary, as proof of
  - i) registration of the applicant's registered office or branch office
  - ii) the business purpose of the company
  - iii) the persons who represent the company
- b) Latest annual report
- c) Latest annual financial statements with auditors' report (if not included in the annual report)
- d) Interim financial statements (if more than six month have lapsed since the date of the most recent annual financial statements)
- e) Organization chart

Comments on enclosures:

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