TO THE ATTENTION OF

THE BULGARIAN STOCK EXCHANGE

A P P L I C A T I O N

by

1

Dear Sirs,

With the following I/we apply for admission of 4 as an authorized broker on behalf of 1

In this reference I/we attach the necessary documents according to the Rules and Regulations of Bulgarian Stock Exchange.

Best regards,

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*SUPPLEMENTS*

*to the Application for admission of non-resident natural persons*

*from a Member State*

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| Documents as Art. 36 (3) of Part II “Membership Rules” |   |
| 1. A certification that an effective employment or service contract has been concluded between the natural person and the Exchange member; |  |
| 2. A power of attorney to represent the member, specifying the time period of representative authority;  |  |
| 3. A certificate of qualification issued by the competent authority in the Member State, in which the broker has obtained a licence, if available; |  |
| 4. A certification that the person has not been convicted of a an intentional crime prosecuted by the state;  |  |
| 5. A curriculum vitae documenting the professional experience, including full name, education, qualifications, length of service, professional experience, address, phone number, e-mail; |  |
| 6. A declaration by the person confirming that he or she is aware of the principles of operation of the System and of the Rules and Regulations of the Exchange and shall familiarise himself or herself with any subsequent revisions thereof; |  |
| 7. A declaration by the person confirming that he or she does not have an effective employment or service contract with an Exchange member, different from the applicant; |  |
| 8. A declaration by the System administrator confirming that an user account for the person has been set up in the System as well as that this account is consistent with the powers of the person.  |  |
| 9. Information on the identifier assigned in accordance with Article 6 and Annex II of Delegated Regulation (EU) 2017/590. |  |
| Documents as Art. 17 (5) of Tariff of Fees Collected by Bulgarian Stock Exchange |  |
| А document certifying the payment of the one-off fee to the amount of BGN 240 (two hundred forthy Bulgarian levs) incl. VAT for admitting of a broker to trading |  |

 Declaration by the broker in connection with the requirements of Art. 35 of

Part II “Membership Rules”

Hereby I,      4, as a person authorised by      1 to execute transactions in financial instruments on the Bulgarian Stock Exchangeon behalf of that member declare that:

1. I have entered into an employment or service contract with      1 for performance of this activity and I don’t have other contracts with different from      1  investment intermediaries.

2. According to the requirement of Art. 35 (13) of Part II “Membership Rules” I am registered in the System as      7:

1. Supervisor\* – has access to and control over all orders placed by the other brokers of the respective Exchange member;

2. Senior broker\* - has access to the orders and quotes placed by the other brokers of the same user group of the respective Exchange member and meanwhile may place new, modify and cancel existing orders and quotes on their behalf;

3. Broker – has access only to the orders and quotes placed by him or her.

3. \* According to the requirement of Art. 35 (14) of Part II “Membership Rules”, in the capacity of      7 I declare that:

1.      7 at least two (2) years of work experience as a broker;

2.      7 I enjoy a good reputation that ensures the stable operation of the Exchange member;

3.      8 of an intentional crime prosecuted by the state.

4. I am familiar with the Rules and Regulations of the Exchange and shall familiarise myself with any subsequent revisions thereof;

5. I am familiar with the Rules and Regulations of the Exchange and the duties of the brokers;

6. I am aware of the principles of operation of the System and of the Rules and shall familiarise myself with any subsequent revisions thereof.

More information:

|  |  |
| --- | --- |
| First and last name of the broker |       |
| Telephone |       |
| Mobile |       |
| Address |       |
| Work position |       |

Date:      6 Declarator,

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**Declaration by the System administrator under Art. 36 (3), p. 8 of part II “Membership Rules”**

Hereby, I,      5 , in the capacity of a person authorized to perform the function of System administrator on behalf of Investment Intermediary      1, declare, that an user account for 4 has been set up in the System as well as that this account is consistent with the powers of the person.

Date:      6 Declarator,

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**Instructions for filling in the form and other useful information**

* The application must be filled in electronically;
* In the grey blank spaces the following information should be presented:
1. Name of the requesting Exchange member applicant;
2. First and last name of a person with representative authority;
3. Work position of the person;
4. First and last name of the broker;
5. First and last name of the System administrator;
6. Date of signature of the document;
7. Please define the type of user (1, 2 or 3)
8. I have/I have not
9. I have/I have not been convicted
* The application should be submitted duly signed with a qualified electronic signature within the meaning of the EDESA (Electronic Document and Electronic Signature Act) or in compliance with the applicable legal regulations in the relevant Member State regarding digital signatures;
* The completed [BSE\_TraderSetup](https://download.bse-sofia.bg/petition/New/BSE_TraderSetup.doc?web=1) form must be submitted to the application;
* The application should be sent on e-mail: bse@bse-sofia.bg with subject: “Application for broker - Name of the Exchange member”. Please, notify if you want to receive an incoming number.

If you have any questions or need further assistance, please contact “Trade, Issuers and Membership” Directorate by e-mail: members.listing@bse-sofia.bg or by phone (+359 2) 937 09 30, 31, 32.