TO THE ATTENTION OF

THE BULGARIAN STOCK EXCHANGE

A P P L I C A T I O N

by

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*(Please, fill in the name of applicant)*

Dear Sirs,

Hereby I/we apply for admission of the investment intermediary represented by me/us as a member of Bulgarian Stock Exchange.

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 membership of non-resident persons established in a Member State*

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| Documents as of Art. 12 (3) of Part II “Membership Rules” |  |
| 1. A certified copy of the Articles of Association or, of the Memorandum of Association accordingly; |  |
| 1. An official document certifying the status of the legal entity and the persons who represent it; |  |
| 1. In the cases referred to under Article 45 of the MFIA: a copy of the licence or licences granted by the Competent Authority in the Member State, in which the investment intermediary has obtained the licences, and a copy of the notification under Article 45 (2) of the MFIA or a document certifying the expiry of the time limit under Article 45 (2) of the MFIA; |  |
| 1. Details of the legal entities and the individuals that are members of the management and control bodies of the applicant company; |  |
| 1. Details of the persons holding a qualifying shareholding in the applicant company and of the number of votes held by such persons in the General Meeting of the applicant company; |  |
| 1. A copy of the CD membership agreement, of an agreement concluded with a member of CD or with another depositary institution/clearing house; |  |
| 1. Legal Entity Identifier (LEI) assigned to the applicant; |  |
| 1. A copy of the internal company rules duly certified by the persons vested with representative authority; |  |
| 1. Information on any administrative sanctions and/or coercive administrative measures imposed in connection with the activity involving financial instruments on any members of the management and control bodies of the applicant or on any employees thereof for the current and the last preceding year, irrespective of whether these have conducted such activities for the applicant or for any other entity. |  |
| Documents as of Tariff of Fees Collected by Bulgarian Stock Exchange |  |
| 1. А document certifying the payment of the one-off fee to the amount of BGN 1,500 (one thousand five hundred Bulgarian levs) incl. VAT for compatibility testing with the trading system |  |
| 1. А document certifying the payment of the introductory fee to the amount of BGN 7,500 (seven thousand five hundred Bulgarian levs) incl. VAT for a new member admitted to the Exchange |  |
| 1. А document certifying the payment of the one-off fee to the amount of BGN 1,500 (one thousand five hundred Bulgarian levs) incl. VAT, due for compatibility testing of an algorithm or of a platform which allows direct electronic access to trading *(in case the exchange member shall provide direct electronic access (DEA) or apply algorithmic trading)* |  |

**Details of the System administrator under Art. 12 (6) of part II "Membership Rules"**

Hereby, I,      4, in the capacity of a person authorized to perform the function of System administrator on behalf of Investment Intermediary      1, declare that:

1. I have an employment contract with the Exchange member      1 on a position higher than the middle management level, or I have a management contract with the Exchange member      1;

2. I am explicitly authorised by the management body of the Exchange member to perform these actions;

3. I have at least two (2) years of work experience in trading in financial instruments, in cases where the System administrator is engaged under an employment contract with the Exchange member;

4. I have not been convicted of an intentional crime prosecuted by the state

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

6. I am familiar with the Rules and Regulations of the Exchange and the duties of the administrator of the System;

7. 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:

|  |  |
| --- | --- |
| Name of the System administrator |  |
| Telephone |  |
| Mobile |  |
| Address |  |
| Work position |  |

Date:      5 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 Exchange membership 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 System administrator;
5. Date of signature of the document.

* 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](mailto:bse@bse-sofia.bg) with subject: Application for membership - Name of the Exchange member applicant. 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.