



# Additional Information Form and Guidance Notes for Unregulated Members

Version 7.0

## Introduction

This Additional Information Form must be completed by member applicants who are not regulated or under supervision by a financial supervisory authority (unregulated members). The Additional Information Form must be submitted to the relevant exchange together with the membership application.

Unregulated member applicants are subject to the following additional requirements:

- The member applicant must be a legal entity domiciled within the EEA
- Financial reporting of the applicant must be in accordance with IFRS or generally accepted national accounting standards
- The member applicant must be covered by the exemptions set in MiFID II article 2

The member applicant will be subject to a stricter initial validation process and stricter on-going supervision by the exchange(s). This includes requirements for additional information and additional declarations as stated in this Additional Information Form.

The exchange(s) may at any time set further requirements for a member applicant if deemed necessary by the exchange(s) both as part of the initial assessment of the member application and as part of the on-going surveillance of a member. The exchange(s) reserve the right to make on-site inspections of equipment connected to the exchange(s) exchange trading system(s) at the premises of the member applicant if deemed necessary by the exchange(s).

The exchange(s) may at any time waive any of the requirements above if special cause exists.

Please submit all required attachments listed under 'Mandatory Attachments' together with this form.

➤ Corporate Information

<b>Name of Legal Entity</b>	
<b>Company Number</b>	
<b>Legal Status</b> Please indicate whether the firm is a private limited or public limited company or other type of company.	
<b>Previous Names of the Legal Entity and Dates for the Name Changes</b>	
<b>Previous Registered Address</b> Please provide all previous addresses within the last 3 years with dates for changes.	
<b>Reason for Unregulated Status</b> <b>(including reference to the relevant exemption in MiFID II, art.2)</b> Please explain how your firm is able to operate in the European financial markets without being an authorised investment firm or credit institution.	

➤ Financial Resources

Please state your firm's equity capital in Euros at the end of the last calendar month		
Does the firm have any liability or exposure that might have a material impact on the balance sheet or the business as a whole?	Yes	No
If "Yes" please provide details below:		
Please confirm that you will make the exchange(s) aware of any material changes to the firm's financial records	Yes	No

### ➤ Fit and Proper

For the purposes of this section, “applicant” includes the firm, its (board of) directors, senior management, and shareholders holding, directly or indirectly, 10 % or more of the shares or voting rights and when such shareholder is a legal person, its (board of ) directors and the managing director.

Please confirm:		Yes	No
1.0	Has the applicant ever been convicted of any criminal offence anywhere (whether spent or not)?	Yes	No
1.1	Is the applicant subject of any current criminal proceedings?	Yes	No
1.2	Has the applicant ever been found guilty of carrying on any unauthorised regulated activity or been investigated for the possible carrying on of unauthorised regulated activities?	Yes	No
1.3	Is the applicant or has the applicant ever been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?	Yes	No
1.4	Has the applicant ever had a judgement debt or similar?	Yes	No
1.5	Is the applicant aware of anyone's intention to initiate proceedings against the applicant for judgement debt or similar?	Yes	No
1.6	Does the applicant have any judgement debts made under a court order still outstanding, whether in full or in part?	Yes	No
1.7	Has the applicant ever failed to satisfy any such judgment debts within one year of the making of the order?	Yes	No
1.8	Has the applicant ever entered or is it in the process of entering into a voluntary agreement with any of the applicant's creditors?	Yes	No
1.9	Is the applicant or has the applicant been the subject of any bankruptcy proceedings or proceedings for the sequestration of the applicant's estate?	Yes	No
2.0	Has the applicant ever (whether or not in the home country /countries of the exchange(s):		
a.	Been refused entry to or been dismissed or requested to resign from, any profession, vocation, office or employment or from any fiduciary office or position of trust whether or not remunerated?	Yes	No
b.	Been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?	Yes	No
c.	Been disqualified by a court from acting as a director of a company or from acting in a	Yes	No

	management capacity or conducting the affairs of any company, partnership or unincorporated association?		
2.1	In relation to activities regulated by the Financial Supervisory Authority or any other regulatory body has the applicant:		
a.	Been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by any such body?	Yes	No
b.	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or intervention action by any such body?	Yes	No
c.	Resigned whilst under investigation by, or been required to resign from, any such body?	Yes	No
d.	Decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by any such body, not to proceed with it?	Yes	No
e.	Been the subject of any civil action which has resulted in a finding against the applicant by a court?	Yes	No
f.	Been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into a voluntary arrangement with creditors?	Yes	No
g.	Been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?	Yes	No
<p>If the answer to any of the above is "Yes", please provide details below:</p>  <p>In addition to the senior management mentioned in the Membership application, the confirmations above have been given on behalf of the following parties and/or persons:</p>			

Other confirmations:

*Information to the Exchange(s) and ESMA Guidelines*

1. Please confirm that the applicant is capable and willing to provide the Exchange(s) with any information deemed necessary in order to monitor and ensure compliance with the	Yes	No
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<p><b>Nasdaq Nordic Member Rules and relevant legislation as stipulated in Nasdaq Nordic Member Rules 3.7.3 and/or in Exchange Rules of Nasdaq Derivatives Markets 1.5.6 (as applicable).</b></p>		
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**Nasdaq Nordic Member Rules 3.7.3**

Upon request, the Member shall provide Nasdaq Nordic with any information, including information regarding clients, which Nasdaq Nordic deem necessary in order to monitor and ensure compliance with Nasdaq Nordic Member Rules and in order to fulfill its obligations pursuant to national securities and exchange law and regulations given pursuant hereto. The information shall be rendered in the manner prescribed by Nasdaq Nordic.

**Exchange Rules of Nasdaq Derivatives Markets 1.5.6**

Upon request by the Exchange, an Exchange Member shall provide the Exchange with any information which the Exchange deems necessary in order to monitor and ensure compliance with the Exchange Rules and in order to fulfill its obligations pursuant to applicable securities and exchange operation legislation and regulations given pursuant hereto (such information to be provided within a reasonable time after the request from the Exchange is received such that the Exchange is able to fulfill the aforementioned obligations). The information shall be rendered in the manner prescribed by the Exchange.

<p><b>2. Please confirm that the applicant is capable and willing to notify and provide the exchange(s) with the information stipulated in Nasdaq Nordic Member Rules 3.7.4, 3.7.5, 3.7.6 and/or in Exchange Rules of Nasdaq Derivatives Markets 1.5.2, 1.5.3, 1.5.4, Appendix 7 Exchange Member Agreement 6.1 (as applicable).</b></p>	Yes	No
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**Nasdaq Nordic Member Rules 3.7.4**

The Member shall immediately notify the Nasdaq Nordic with regard to any material deviation from the provisions set forth in the Nasdaq Nordic Member Rules that apply to the Member.

**Nasdaq Nordic Member Rules 3.7.5**

The Member shall immediately notify Nasdaq Nordic in the event the Member's financial position deteriorates to such an extent that there exists a risk that the Member will no longer be able to perform its obligations pursuant to the Nasdaq Nordic Member Rules, or other circumstances exist which may lead to the same result.

**Nasdaq Nordic Member Rules 3.7.6**

The Member shall provide Nasdaq Nordic with all annual reports and with information regarding changes in the identity of the Member's Chairman of the Board of Directors, auditors, Managing Director, Compliance Officer, Head of Trading, and other material changes in the information provided by the Member in connection with the application for membership.

**Exchange Rules of Nasdaq Derivatives Markets 1.5.2**

Exchange Members shall immediately inform the Exchange of any and all deviations from the observance of the provisions in the Exchange Rules of which they become aware.

**Exchange Rules of Nasdaq Derivatives Markets 1.5.3**

Exchange Members shall immediately inform the Exchange if their financial position weakens to such an extent that there exists the risk that the Exchange Member will be unable to meet its obligations towards the Exchange as set forth in the Exchange Rules, or if other circumstances exist which can lead to the same result. Should the Swedish Financial Supervisory Authority or the Exchange itself deem the Exchange's financial standing to have weakened to an extent such that properly-functioning exchange operations can no longer be maintained, the Exchange shall notify Exchange Members.

**Exchange Rules of Nasdaq Derivatives Markets, Appendix 7 Exchange Member Agreement 6.1**

The Exchange Member agrees to provide the Exchange with information in accordance with the Exchange Rules. The Exchange Member shall, without demand, provide the Exchange with interim financial reports and year-end financial reports.

<p><b>3. Please confirm that the applicant will follow the guidelines laid down for investment</b></p>	Yes	No
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<p>firms in the <i>ESMA Guidelines on systems and controls in an automated trading environment for trading platforms, investment firms and competent authorities</i> and that the applicant is capable and willing to provide the Exchange(s) with any information deemed necessary in order to monitor and ensure compliance with the abovementioned ESMA Guidelines.</p>		
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Pursuant to the ESMA Guidelines on systems and controls in an automated trading environment for trading platforms, investment firms and competent authorities entered into force on 1<sup>st</sup> of May 2012, trading platforms shall require members who are not investment firms to follow the guidelines laid down for investment firms.

The guidelines to be followed are as follows: Guideline 2. *Organisational requirements for investment firms' electronic trading systems (including trading algorithms)*; Guideline 4. *Organisational requirements for investment firms to promote fair and orderly trading in an automated trading environment*; Guideline 6. *Organisational requirements for investment firms to prevent market abuse (in particular market manipulation) in an automated trading environment*; and Guideline 8. *Organisational requirements for investment firms that provide direct market access and/or sponsored access*.

Upon request, the member shall provide the Exchange with any information which NASDAQ OMX Nordic deems necessary in order to monitor and ensure compliance with the ESMA Guidelines. The information shall be rendered in the manner prescribed by NASDAQ OMX Nordic.

### *Information to the Financial Supervisory Authorities*

<p>4. Please confirm that the applicant is capable and willing to provide the Swedish Financial Supervisory authority with the information stipulated in the Swedish Securities Markets Act, chapter 14, section 6, paragraph 1</p>	Yes	No
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Swedish Securities Markets Act, chapter 14, section 6, paragraph 1

A participant who is not under the supervision of the Swedish Financial Supervisory Authority shall, upon request by the Authority, be obliged to provide information regarding the circumstances which pertain to the participation in trading on the regulated market. The Authority may order such a participant to provide the requested information.

<p>5. Please confirm that the applicant is capable and willing to provide the Finnish Financial Supervisory authority with the information stipulated in the Financial Supervision Authority Act, chapter 3, section 18</p>	Yes	No
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Financial Supervision Authority Act, chapter 3, section 18

Notwithstanding with any secrecy regulations the supervised entities and other financial market participants are obliged to provide without undue delay the Financial Supervision Authority with such information and clarification that is needed in order to assure that the Financial Supervision Authority is able to fulfill obligations enacted for it in the Act on the Financial Supervision Authority.

### *Mandatory Attachments*

<p><b>1. Please confirm that a copy of a risk routine description is attached</b>  A risk routine review could include the following. Please note that the list is not exhaustive and Nasdaq may ask for additional information and details.</p> <ul style="list-style-type: none"> <li>• Market Risk</li> <li>• Pre-trade Risk</li> <li>• Intraday Risk</li> <li>• Operational Risk</li> <li>• Liquidity Risk</li> <li>• Internal controls</li> </ul>	Yes
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<p><b>2. Please confirm that you have attached a declaration from your auditor confirming the equity capital of your firm at the end of the last calendar month or a statement from the board of directors confirming that no material events have occurred subsequent to the completion of the firm’s latest financial statements which would have a negative impact on the financial statements or equity capital.</b></p>	Yes
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**Declaration**

We confirm that the information above and any accompanying documentation are accurate and true, and that we will update the exchange(s) of any relevant changes to the information provided.

Name	
Title	
Signature	
Date	

Please return this completed Additional Information Form to the relevant exchange with the rest of the Membership application.