

## APPLICATION FOR MEMBERSHIP

*Please note that the application, the attachments and any other information submitted must be in English or Swedish.*

### Application

Member

Corporate registration no.

(the “**Member**”) hereby applies for membership at Nordic Growth Market NGM AB (“**NGM**” or the “**Exchange**”)

The application refers to securities operations regarding

☐

Trading on behalf of another party

☐

Trading on own account

### Information about the Member

Company name

Address

Corporate registration no.

Telephone number

Web address

### Authorization/Supervision

Supervisory authority

Is the supervisory authority informed about this application?

☐

Yes

☐

No

Please be informed that the Exchanges may inform the supervisory authority regarding the membership application

Information on authorization to conduct investment services (Annex I, section A, subsections 2-3 in MiFID II)

☐

Execution of orders on behalf of clients

☐

Dealing on own account

### Capital

Information on capital, calculated in accordance with the applicable provisions of the Capital Requirements Regulation (575/2013) on prudential requirements for credit institutions and investment firms.

Amount in euros

### Miscellaneous

Information on other exchanges of which the Member is a member

### Clearing and settlement

State the clearing organization(s) with which the Member has entered into agreement(s), or is able to trade through under a custodial bank agreement.

Euroclear Sweden AB

<input type="checkbox"/>	Direct clearing member
<input type="checkbox"/>	Clearing through custodial bank (state below)
<input type="text"/>	

Euroclear Finland OY

<input type="checkbox"/>	Direct clearing member
<input type="checkbox"/>	Clearing through custodial bank (state below)
<input type="text"/>	

VPS ASA

<input type="checkbox"/>	Direct clearing member
<input type="checkbox"/>	Clearing through custodial bank (state below)
<input type="text"/>	

VP Securities A/S

<input type="checkbox"/>	Direct clearing member
<input type="checkbox"/>	Clearing through custodial bank (state below)
<input type="text"/>	

Other clearing organization

**Contact information**

**Technical contact 1**

E-mail

Telephone number

**Compliance officer**

E-mail

Telephone number

**Technical contact 2**

E-mail

Telephone number

**Head of Trading**

E-mail

Telephone number

**CTO**

E-mail

Telephone number

**Conformance testing**

Please be advised that the Member will be required to undertake conformance testing prior to the deployment, or a substantial update of, the access to the Trading System or the Member's trading system, trading algorithm or trading

strategy (please see section 3.3.4 and 4.2 of the member rules). Please contact [support@ngm.se](mailto:support@ngm.se) for further information on conformance testing.

### Order record keeping

Please be advised that the Member is required to, when placing an order or quote, provide all of the information which is necessary in order for the Exchanges to comply with the requirements on maintenance of relevant data relating to orders in financial instruments (please see section 5.2.2 of the member rules). Please contact [support@ngm.se](mailto:support@ngm.se) for further information on the requirements relating to the order record keeping-obligation.

### Notification of algorithms

Please be advised that the Member is required to, prior to deployment or substantial update of any algorithm or trading strategy, certify to the Exchanges that the algorithm or trading strategy has been tested to avoid contributing to or creating disorderly trading conditions. Please contact [support@ngm.se](mailto:support@ngm.se) for further information on testing of algorithms.

### The following documents shall be attached to this application

#### Technical documentation

- ☐ The Member's two latest financial reports.
- ☐ A brief description of the member's organization and argument for how the Member fulfills the requirement in Article 53(3)(c) MiFID II regarding adequate, where applicable, organizational arrangements.
- ☐ A brief description of the Member's risk management framework including information regarding who is responsible for the Member's risk management.
- ☐ A brief description of the Member's policy of use of the kill functionality (please see section 3.6.1 and 5.8.3 of the member rules).
- ☐ A brief description of the Member's pre-trade controls on price, volume and value of orders and usage of the Trading System (please see section 3.3.7 of the member rules).
- ☐ A completed form "Member Account Setup Request – NGM Elasticia".

#### Compliance documentation

- ☐ Two signed originals of the Agreement regarding participation in trading at Nordic Growth Market NGM AB
- ☐ Certificate of incorporation for the Member, demonstrating the authority of the person or persons who have signed the agreements above and this application.
- ☐ Copy of the Member's authorization to conduct any of the securities operations as set out in Annex I, section A, subsections 2-3 in MiFID II, or, if applicable, the authorization for a foreign company, within or outside the EEA, to conduct operations in its home country equivalent to those just referred to and which is under satisfactory supervision by a public authority or other authorized body in its home country.
- ☐ A complete application for approval and registration of traders.
- ☐ If the Member intends to provide DMA, a complete form "Notification of provision of direct market access".
- ☐ If the Member intends to provide SA, please contact [legal@ngm.se](mailto:legal@ngm.se).

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[Signature page to follow]

It is hereby certified that (i) the clearing organization(s) referred to above, have not taken any measures to revoke the Member's authorization to act as a clearing member, or, alternatively, that no measures have been taken to revoke the custodial bank agreement referred to above, and that (ii) the information provided in this application and the attached documents is true, complete and accurate.

Place and date

Place and date

Member (company name)

Member (company name)

Signature\*

Signature\*

\* Person authorized to sign

\* Person authorized to sign

Clarification of name

Clarification of name