

# Application Form for IPSO Trading Members

May 2022

# IPsx Trading Member Application Form

## Introduction

This form should be completed by an **Applicant** seeking to become a **Trading Member** of **IPsx**. Additionally, the **Applicant** is required to sign the IPsx Admission Agreement as part of the admission process.

All **Trading Members** are bound by the **IPsx Rules** and must ensure compliance with these rules.

## Queries

If you have any queries regarding the completion of this form, please contact:

### **IPsx Market Regulation Team**

+44 (0) 20 3931 8800

[regulation@ipsx.com](mailto:regulation@ipsx.com)

## Send form to

Scanned copies of the form and supporting documents should be emailed to [regulation@ipsx.com](mailto:regulation@ipsx.com). If there is insufficient space for any answer in this form, please provide the answer in a separate document and submit it with this application form.

Terms in **bold** in this form have the meaning given to them in the **IPsx Rules**.

## A. Applicant information

Full name of the <b>Applicant</b>	
Trading name (if different)	
Legal Entity Identifier (LEI) code	
Country of Registration	
Switchboard Phone Number	
Website	
Company Registration Number	

### A1.

Registered office address in country of incorporation:


Business address (if different):


### A2.

Name of the **Applicant's** Competent Authority and reference number:

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### A3.

Details of all regulated markets of which the **Applicant** is a member of and the capacities of those memberships:

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#### A4.

Primary contact for the purposes of this application:

Name:	Title:
Email:	Tel:

### B. Disciplinary History

Please include details of any regulatory intervention, criticism or disciplinary action in relation to the **Applicant**, or individuals working for the **Applicant** who will be carrying out, or have responsibility for, any activity on **IPsx**, that have occurred within the last six years. This should include the names of the individuals, the type of action, the date of the action and the name of the regulatory body involved.

No       Yes – please provide full details on a separate sheet

### C. Compliance

By submitting this form, the **Applicant** confirms that the following statements are true:

- The **Applicant** has a working knowledge of the **IPsx Rules** as they impact upon **IPsx Trading Members**.
- All relevant staff at the **Applicant** have read and understood the **IPsx Rules** and the **IPsx Guide for Trading Members** and will comply with all rules that are applicable to them.
- All staff who will be involved in the **Applicant's** activity on **IPsx** are competent and are supervised at an adequate level.
- The **Applicant** has appropriate systems and controls in place to ensure that it complies with the **IPsx Rules** and the **IPsx Guide for Trading Members**.

Yes:	No:
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## D. Systems and Controls

### D1.

Does the **Applicant** intend to connect directly to the **IPsx Trading Platform**?

Yes:	No:
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If yes, please proceed to question D2. If no, please proceed to Section E.

### D2.

What system will the **Applicant** use to access the **IPsx Trading Platform**?

cBlue

Yes:	No:
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Other

Yes:	No:
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If other, please specify:

### D3.

Please provide details of the systems the **Applicant** has in place for Order Management and Quote Management:

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## E. Declaration by Officers of the Applicant

The **Applicant**:

1. Confirms that the information contained in this form is true, complete and accurate.
2. Agrees to be bound by the terms of the IPSX Admission Agreement.
3. Confirms that it will be bound by the **IPSX Rules**, as updated from time to time.
4. Agrees to notify the **Exchange** immediately of any conflict of interest that may arise and will immediately address with the conflict based on our procedures.
5. Understands that the **Exchange** may require the **Applicant** to provide further information in order to process our application.
6. Undertakes to notify the **Exchange**, as soon as is practicable, of any regulatory intervention, criticism, or disciplinary action in relation to the **Applicant** or individuals of the firm that will be carrying out or have responsibility for activity on **IPSX**, of which the **Exchange** might reasonably expect notice.

This declaration must be signed by an authorised signatory of the **Applicant** for and on behalf of the **Applicant**:

Full name:

Position:

Signature:

Date:



**International Property Securities Exchange**

Birchin Court, 20 Birchin Lane, London EC3V 9DU  
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[ipsx.com](https://www.ipsx.com)

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