

Registration Form for Brokers representing Cornerstone Investors

January 2020

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Introduction

This form is to be completed by a **Broker** when they are registering to represent **Cornerstone Investors** of an **Issuer** on **IPSX Wholesale**.

Queries

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

IPSX Market Regulation Team

+44 (0)20 3931 8765

regulation@ipsx.com

Send form to

Please return the completed application form to IPSX Market Regulation. Scanned copies of the form and supporting documents should be emailed to regulation@ipsx.com.

Registration

A **Broker** may register to represent the interest of **Cornerstone Investors** in any and as many IPSX securities as they see fit.

By submitting this form, the **Broker** agrees to abide by and follow the obligations as set out within the **IPSX Rules for Members**, specifically rules 5.3.4 – 5.3.8.

In addition to this, **Brokers** should be aware that the obligations for the **Cornerstone Investors** whose interest they are representing are set out in rules 3.15 – 3.16 of the **IPSX Rules for Wholesale Issuers**.

De-Registration

A **Broker** wishing to de-register as a representative of a **Cornerstone Investor** may do so in accordance with the **IPSX Rules for Members** under Part IV, section 3 “Continuing obligations of an IPSX Trading Member”. Specifically, **Brokers** should note that de-registration can only take effect 90 days after initial registration.

Broker representing Cornerstone Investor Registration/Deregistration

Register/ deregister:	ISIN:	Security Name:	Symbol:	Name(s) of Cornerstone Investor(s) represented	Effective Date:

Member firm name:	
Submitted by (full name):	
IPSX Trading Member code:	
Email:	

Signature:	Date:
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Email to: regulation@ipsx.com