

Application for Membership of the
European Wholesale Securities Market



European Wholesale
Securities Market

APPROVAL

1. This Application Form must be completed by applicants falling within the definitions outlined in Bye-Law 3.3(a) and (b) .
2. In the case of applicants falling within the definition outlined in Bye-Law 3.3(c), the EWSM may need to evaluate applicants as being “fit and proper” as well as undertake a due diligence exercise. Applicants within this category may, therefore, be required to present relevant documentation as necessary in order for EWSM to complete such evaluations.
3. Applicants falling within this category are required to contact the EWSM, compliance@ewsm.eu for further details.
4. The EWSM will approve or reject an application for membership within ten [10] business days of receipt of the completed application together with any relevant documentation, including fees as set out hereunder.
5. The authorisation will be deemed to become effective on the date stipulated in the Market Notice issued by EWSM giving details of the new Member and the start date of operations on the Market. EWSM will issue such Market Notice within one [1] business day from approval being given.
6. In the case of rejection of an application, EWSM will inform the application of such rejection and the reasons for such rejection within the time frame stipulated in 4. above.

How to use this Application Form

1. Applicants should submit on the Application Form together with any supporting documents to: Membership@ewsm.eu
2. The Application should be read in conjunction with the Bye-Laws of the EWSM and the Financial Markets Act [Cap 345 of the Laws of Malta] and any regulations made thereunder.
3. Applications will only be considered when all relevant sections have been duly completed and relevant fees have been received.
4. Misleading or incorrect information on any material point shall render the application invalid.

All information submitted in the application is for the sole use of the Market and will not be divulged to third parties other than the Competent Authority as deemed appropriate.

1.00 SECTION 1 - MEMBER

1.01 APPLICANT'S NAME:

1.02 I.S.A. LICENSE REF NO.
Or equivalent authorisation:

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[Please attach a scanned copy of such license/authorisation]

1.03 REGISTERED ADDRESS*

Address:	
Telephone No:	
Fax No:	
E-mail:	

** The above information will appear on the Market's List of Licensed Members and all communications will be addressed accordingly.*

1.04 GROUP STRUCTURE

Attach as an appendix, where relevant, an organisation chart showing the applicant's position within a larger Group, including the extent of Group/other ownership interests in the applicant.

2.00 SECTION 2 - DIRECTORS, OFFICERS AND EMPLOYEES

2.01 DIRECTORS, OFFICERS AND EMPLOYEES

[Including Chief Executive, Managing Director, Secretary to Board as applicable and other employees holding a position of trust within the Member firm.]

Full Name & Surname	Position	Passport No.	Date of Appointment

2.02 DIRECTOR(S)/OFFICER(S) APPOINTED TO SIGN ON BEHALF OF MEMBER

Full Name & Surname	Position	Passport No.	Date of Appointment
(i)			
(ii)			

Specimen Signatures :

(i)	
(ii)	

Board resolution reference and date in respect of above appointments:

Reference:		Date:	
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2.03 COMPLIANCE OFFICER

Full Name & Surname	Identity Card No/Passport No.

Date of appointment:	
Specimen Signature:	

2.04 OFFICERS AUTHORISED TO DEAL ON BEHALF OF MEMBERS

Full Name & Surname	Passport No.

3.00 SECTION 3 - FEES

Membership Fee:	
Initial Fee:	
Annual Fee:	
Fees should be credited to:	
Bank Account No.:	

An Initial Fee and Annual Fee are to be paid upon application. The Annual Fee will be invoiced on 1 January of each year until such time the Member remains an authorised member of the EWSM.

4.00 SECTION 4 - DECLARATION

DECLARATION BY APPLICANT

1. We / I declare that the information contained in this application is complete and correct.
2. We / I declare that the Member, his officers and employees are aware of the provisions of the Act, any regulations made thereunder and the Bye-Laws that may be in force from time to time and will comply with and be bound by all such relevant provisions.
3. We / I declare that the Member shall be responsible for and be bound by all the actions and omissions of its officers and employees in their activities in connection with the EWSM.
4. We / I declare that the Member shall keep EWSM notified of any significant changes in the information supplied in this application which occur after the date of submission of the application and prior to receiving notification of the EWSM's decision.

Signature

Signature

Designation

Designation

Signed on behalf of [name of applicant member]

on [date]

