

APPLICATION FOR MEMBERSHIP TO SPOTLIGHT STOCK MARKET

Please note that the application, the attachments, and any other information submitted must be in English or Swedish. The member rules, applicable from time to time, apply for trading at Spotlight Stock Market.

Application

The ("Member") hereby applies for membership at Spotlight Stock Market (the "Marketplace").

The application refers to securities operations regarding:

Execution of orders on behalf of clients Dealing on own account

To become a member of Spotlight Stock Market, it is required that the applicant is a member of Nasdaq Nordic.

The Member confirms being a member of Nasdaq Nordic Yes No

Information about the Member

Company name

Registered address

Corporate registration no.

Telephone no.

Web address

Contact person

Full name

Email address

Billing information

Billing address and invoice reference

E-mail address (for invoice)

VAT-number

Telephone no.

Supervisory authority

Supervisory authority

Is the supervisory authority informed of this application? Yes No

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

Authorized investment services

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

Execution of orders on behalf of clients

Dealing on own account

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

Direct clearing member

Clearing through custodial bank (state below)

Euroclear Finland OY

Direct clearing member

Clearing through custodial bank (state below)

VPS ASA

Direct clearing member

Clearing through custodial bank (state below)

VP Securities A/S

Direct clearing member

Clearing through custodial bank (state below)

Other clearing organization

Declaration of equity capital

The Member shall maintain equity capital of at least EUR 750,000 in accordance with the Member Rules. Capital shall be calculated based on own funds in accordance with the applicable prudential regime, i.e. Regulation (EU) No 575/2013 (CRR) or Regulation (EU) 2019/2033 (IFR), as applicable.

(Amount in euros)

Miscellaneous

Information of other marketplaces of which the Member is member:

Contact Information

Name Head of Trading

E-mail

Telephone number

Name Compliance Officer

E-mail

Telephone number

Name Technical Contact

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 of the Member Rules. Please contact MAC@nasdaq.com for further information on conformance testing.

The Member confirms that it has undergone relevant conformance tests and been approved by Nasdaq Nordic

Yes

No

Order record keeping

Please be advised that the Member is required to, when placing an order or quote, provide all the information which is necessary in order for the Marketplace to comply with the requirements on maintenance of relevant data relating to orders in financial instruments. Please contact MAC@nasdaq.com 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 Marketplace that the algorithm or trading strategy has been tested to avoid contributing to or creating disorderly trading conditions. Please contact MAC@nasdaq.com for further information on testing of algorithms.

The Member certifies that any algorithms or trading strategies have undergone relevant testing

Yes No

Kill Switch / Emergency Order Cancellation

The Member hereby certifies that the Member has an approved kill switch (emergency order cancellation) functionality in place in accordance with MiFID II requirements.

Yes No

Pre-Trade Controls

We hereby certify that the firm has adequate pre-trade controls on price, volume and value of orders, in accordance with MiFID II and the trading venue's Member Rules.

Yes No

Required documentation

- Certificate of incorporation for the Member, demonstrating the authority of the person or persons who have signed 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.
- If the Member intends to provide direct market access, a complete form "Notification of provision of direct market access".
- If the Member intends to provide sponsored access, please contact trading@spotlightstockmarket.com
- A complete KYC-form for customers of Spotlight Stock Market, including passport copies for relevant persons and organizational chart.

[Signature page to follow]

Preferred starting date of trading

** Please be advised that to commence trading, the Member or it's representatives must submit a "Statement of Authority for Spotlight Stock Market" to Nasdaq. This is provided by the applicable clearing organization(-s).*

Confirmed

Signatures

By signing this application, 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