

SIX Swiss Exchange

Clearing Only Participant membership in SIX Swiss Exchange

We hereby apply for admission as Clearing Only Participant ("COP") pursuant to the SIX Swiss Exchange rules and regulations and the General Conditions governing securities trading and clearing only participation on the SIX Swiss Exchange AG, as well as in accordance with the information provided below.

Admission as COP at SIX Swiss Exchange only entitles the participant to retrieve information which it requires for fulfilling its function as general clearing member (GCM) for other trading participants of SIX Swiss Exchange that are themselves not a clearing member of an SIX Swiss Exchange recognised central counterparty (hereinafter "CCP"). Access to the SWXess Plattform for these purposes is optional.

For this purpose, we have enclosed herewith all required documentation as set forth in this application:

1. Institution

We herewith apply for admission to SIX Swiss Exchange as a COP:

Name of applicant

Full address

Tel.

Fax

Homepage address (if any)

Parent company (if any)

2. Central Counterparty

- We are a member of SIX x-clear

3. Technical Information: STI – Standard Trading Interface (FIX 4.4)

Direct Connectivity

Connection via:

- Internet
- Managed IP Service
- Ethernet Service
- Optical Link (only after consulting Member Support Center)
- Proximity Service (only after consulting Member Support Center)

Connectivity through an Application Service Provider (ASP)

Please indicate which Application Service Provider you are using for exchange connectivity:

Name of Application Service Provider

Carrier

4. Market Data Interface

Clearing Only Participant requiring market data should contact [SIX Exfeed](#) to sign the required agreements.

Clearing Only Participant can subscribe to the following market data channels.

Exchange	Market Segment	Top of book	Cumulated Depth	Trades Ticker	Closing Inside Market	Newsboard Trading Sessions
SIX Swiss Exchange	Swiss Franc Bonds	10	11	1	4	5
	International Bonds	20	21			
	Primary Listed Equities	30	31			
	International Equities	40	41			
	ETF & ETSF	50	51			
Scoach Schweiz	all Scoach Derivatives	60	61	2		
Swiss Blue Chip	Swiss Equities	70	71	3		
	ETF	90	91			

The 'Top of book' channels provide the best bid and offer data, the 'Cumulated depth' channels provide the cumulated bid and offer data up to the maximal market depth distributed for the respective market segment.

Standard Configuration (all market segments with cumulated depth)

The Standard Configuration is for Members of SIX Swiss Exchange, Swiss Blue Chip Segment and Scoach Schweiz to have access to all market segments (for which they have exchange membership) with the cumulated depth. I.e. for members of all exchanges, the standard configuration includes the following channels:
1, 2, 3, 4, 5, 11, 21, 31, 41, 51, 61, 71, 81, 91

Customised Configuration

Members may subscribe to any combination of the market data channels listed above. Please indicate the specific list of channels you require:

5 RDI – Reference Data Interface

Reference Data can be downloaded via Member Section:

https://www.swx.com/member_section/vca_ref.html

Reference Data can also be downloaded via SCAP, for details on download process please consult the Reference Data Interface (RDI) Specification (Version 1.01), reference SWX-VCA-SPEC-RDI-101/E, published on the SIX Swiss Exchange member section.

6 Administrative Information

Name of Business coordinator

<input type="text"/>		
Tel. no. (inc. area code)	Fax	e-mail
<input type="text"/>	<input type="text"/>	<input type="text"/>

Technical coordinator

<input type="text"/>		
Tel. no. (inc. area code)	Fax	e-mail
<input type="text"/>	<input type="text"/>	<input type="text"/>

Person in charge of clearing

<input type="text"/>		
Tel. no. (inc. area code)	Fax	e-mail
<input type="text"/>	<input type="text"/>	<input type="text"/>

Person in charge of settlement

<input type="text"/>		
Tel. no. (inc. area code)	Fax	e-mail
<input type="text"/>	<input type="text"/>	<input type="text"/>

Compliance Officer

<input type="text"/>		
Tel. no. (inc. area code)	Fax	e-mail
<input type="text"/>	<input type="text"/>	<input type="text"/>

7. Declaration

We hereby declare that we have read and understood the SIX Swiss Exchange rules and regulations, the SIX Swiss Exchange General Conditions as well as the arbitration and jurisdiction clauses therein. We further declare that we shall recognize and comply with the SIX Swiss Exchange rules and regulations, the SIX Swiss Exchange General Conditions (particularly Section 1.3 "Own funds"), the arbitration and jurisdiction clauses as well as the SIX Swiss Exchange messages as valid at any given time.

Place and date

Name and valid signature(s) of the Applicant

Name and valid signature(s) of the Applicant

Enclosures

Appendix C: Documents submitted, including those mentioned herein

- a) Current excerpt from the commercial register, certified by a court or a notary, as proof of
 - i) registration of the applicant's registered office or branch office
 - ii) the business purpose of the company
 - iii) the persons who represent the company
- b) Latest annual report
- c) Latest annual financial statements with auditors' report (if not included in the annual report)
- d) Interim financial statements (if more than six month have lapsed since the date of the most recent annual financial statements)
- e) Organization chart

Comments on enclosures:
