

version 1

# Sponsored Access Application Form

Updated May 2011

This application form is being distributed by Turquoise Global Holdings Limited only to, and is directed only at (a) persons who have professional experience in matters relating to investments who fall within Article 19(1) of the FSMA 2000 (Financial Promotion) Order 2005 and (b) persons to whom it may otherwise lawfully be communicated (together "relevant persons"). Any investment or investment activity to which this document relates is available only to and will be engaged in only with, relevant persons. Any person who is not a relevant person should not act or rely on this application form or any of its contents.

Turquoise Global Holdings Limited is authorised by the Financial Services Authority



## Becoming a Sponsoring Firm

### Background

The purpose of this form is to provide Turquoise with the necessary information to process Sponsored Access applications.

### Rules & Regulations

All Members are bound by the Turquoise Rules and must ensure compliance with these Rules. The Rulebook and further guidance on your obligations as a Member are available on the Turquoise website: <http://www.tradeturquoise.com>

### Technical Specification

Full details of the Sponsored Access service can be found in the Sponsored Access Service Description available on the Turquoise website: [http://www.tradeturquoise.com/tq\\_resources.shtml](http://www.tradeturquoise.com/tq_resources.shtml)

By completing and submitting this form the Sponsoring Member Firm\* understands that it shall comply with the technical provisions contained in the specifications.

### Returning Your Application

Completed forms and supporting documentation can be returned via mail, or email – contact and correspondence details are detailed below.

Turquoise  
10 Paternoster Square  
London  
EC4M 7LS

*e-mail:* [sales@tradeturquoise.com](mailto:sales@tradeturquoise.com)  
*Telephone:* +44 (0)20 7382 7600

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\* Please note Sponsored Access can only be provided by existing member firms to non-member firm clients



## 1 Sponsoring Member Firm

<b>Name of Sponsoring Member Firm</b>	
<b>Member Firm ID</b>	

<b>Business Contact</b>	
Name:	
Job Title:	
Email Address:	
Telephone Number:	

<b>Compliance Contact</b>	
Name:	
Job Title:	
Email Address:	
Telephone Number:	



## 2 Sponsored User

<b>Name of Sponsored User</b>	
<b>Country of Incorporation</b>	
<b>Registered Office Address</b>	

<b>Regulatory Authorisation</b>	
Please indicate if the Sponsored User is authorised to conduct investment or equivalent activity:	
<b>Authorised</b>	<input type="checkbox"/>
Name of Home State Regulator:	
Reference Number/ Identifier:	
<b>Not authorised</b>	<input type="checkbox"/>

<b>Due Diligence</b>
Are you aware of any adverse information about the Sponsored User?
NO <input type="checkbox"/> YES <input type="checkbox"/>
<u>If YES, please provide full details on a separate sheet.</u>



### 3 Sponsored User Trading Profile

Trading Services	
Please indicate which trading services the Sponsored User should be configured with:	
All markets by default	<input type="checkbox"/>
Only the following <u>selected</u> markets:	
Austria	<input type="checkbox"/>
Belgium	<input type="checkbox"/>
Czech Republic	<input type="checkbox"/>
Denmark	<input type="checkbox"/>
Finland	<input type="checkbox"/>
France	<input type="checkbox"/>
Germany	<input type="checkbox"/>
Hungary	<input type="checkbox"/>
Ireland	<input type="checkbox"/>
Italy	<input type="checkbox"/>
Luxembourg	<input type="checkbox"/>
Netherlands	<input type="checkbox"/>
Norway	<input type="checkbox"/>
Portugal	<input type="checkbox"/>
Spain	<input type="checkbox"/>
Sweden	<input type="checkbox"/>
Switzerland	<input type="checkbox"/>
UK	<input type="checkbox"/>
United States	<input type="checkbox"/>

Authorised Persons	
Should an individual of the Sponsoring Firm contact Turquoise Market Operations, on behalf of the Sponsoring User, they will be subject to an identity check. Please indicate in the list below the names of the individuals appointed by the Sponsoring Firm or indicate the Sponsoring Firm will use it's current Authorised Persons list:	
Authorised Persons list as per the Sponsoring Firm Membership Application Form	<input type="checkbox"/>
If different, please use the table provided below:	
A. Indicates the individual is authorised to request all services e.g. (but not limited) to order book consultation, global/single order cancellation, trade information...	
B. Indicates the individual is authorised to request 'information' on trades only	
C. Indicates that the individual is an IT contact who is able to request password resets to login to the Turquoise	



Trading System.			
D. Indicates the individual is permitted to provide information regarding restricted and de-restricted stocks for the applicant firm to Turquoise Market Operations (TMO).			
Name	Department	Authorisation (A, B, C, D)	Email and Telephone Number

Clearing & Settlement
<p>Please indicate how the Sponsoring Firm will clear and settle the Sponsored User business where this would differ from its existing set up:</p> <p>Using a different configuration? Please indicate: _____</p> <p><u>Please note:</u> the Sponsoring Firm will need to submit updated Static Data Forms in order to ensure the new trading codes are configured for clearing and settlement where the Sponsored User would use a different configuration.</p>

Connecting to Turquoise
<p>Please provide details of how the Sponsored User plans to connect to Turquoise:</p> <p>Exchange Hosting <input type="checkbox"/></p> <p>Extranex <input type="checkbox"/></p> <p>Network Service Provider <input type="checkbox"/> Please specify provider: _____</p> <p>Vendor Access Network <input type="checkbox"/> Please specify vendor: _____</p>



## 4 Applicant Declaration

We hereby confirm that, in accordance with the Sponsored Access Agreement, we have undertaken due diligence regarding the suitability of the Sponsored User to have sponsored access to Turquoise. We have satisfied ourselves that the Sponsored User:

- has sufficient staff with adequate knowledge, experience, training and competence for the activities it will undertake on the Turquoise's order books;
- has appropriate knowledge of the Turquoise's rules;
- is aware that the FSA's Code of Market Conduct applies to its activities and that it has taken appropriate steps to ensure that its behaviour does not constitute market abuse;
- has adequate internal procedures and controls for these activities notwithstanding the Validation Checks provided for all sponsored order flow;
- has appropriate financial resources; and
- is fit and proper to have a direct technical connection to Turquoise;

The provision of sponsored access services to the Turquoise's markets to the Sponsored User does not violate any laws or regulations applicable to this Sponsored User in the relevant jurisdiction. Furthermore, we confirm that we will have arrangements in place to satisfy ourselves on an ongoing basis that the Sponsored User continues to meet these requirements and, when requested, we will provide information to Turquoise with respect to this. As required under the Sponsored Access Agreement, we will notify Turquoise immediately if we become aware that the Sponsored User no longer meets the requirements and will cooperate with Turquoise to halt the Sponsored User's access to the Turquoise's markets.

We accept that we are responsible for all obligations and liabilities arising from the trading activity undertaken on Turquoise by the Sponsored User via sponsored access.

We confirm that we have read and accept all of the terms and conditions set out in the service description and that the information provided above is accurate and complete.

<b>Signatures (at least one signature must be that of a relevant compliance contact)</b>	
For and on behalf of:	
<b>Name of Director/Partner:</b>	<b>Name of Director/Partner:</b>
<b>Date:</b>	<b>Date:</b>
<b>Signature</b>	<b>Signature</b>



## 5 Data Protection Information

For the purposes of the Data Protection Act 1998 and the Privacy and Electronic Communications (EC Directive) Regulations 2003, the information provided in this order form will be used by Turquoise for the purposes of providing you with products, services and data that you have ordered or may be interested in.

Please tick the appropriate boxes if you do **not** wish Turquoise to contact you by

Telephone  Email  Post

Turquoise may also provide customer data to its affiliates and carefully selected third parties who may contact you about services that may be of interest to you. If you do **not** wish such contact, please tick the appropriate box:

We do not wish Turquoise's affiliate companies to contact us

We do not wish third parties to contact us