



TISA Exchange Limited (TeX)

Notes to:

The Contract Club Joining Form
and Registration Form

These notes should be used when completing the TISA Exchange Limited (TeX) Contract Club Joining Form and/or TeX Registration Form.

Introduction

The purpose of this document is to assist with the completion of the Contract Club Joining Form and/or the Registration Form ('the forms') for TISA Exchange Limited ('TeX') and should be read prior to completion of the relevant form.

Failure to correctly complete the forms could result in a delay in completion of the application process.

If you have any questions on the completion of the forms please contact TeX support on 01642 666999.

Contract Club Joining Form

The Contract Club Joining Form allows an applicant to signal its intention to join TeX and pay the joining fee.

It also allows a firm or individual to provide sufficient information for TeX to understand the initial intentions of the applicant in relation to future membership of TeX.

It should be noted that completion of this form and payment of the joining fee does not guarantee that an application to register with TeX will be made nor does it guarantee that any application to do so will be successful.

In the case of a company this form should be completed by the main corporate entity. This will allow subsidiaries (as defined by the TeX membership agreement) to register for TeX without payment of a further joining fee.

1. APPLICANTS COVERED BY THIS JOINING FEE

A joining fee is payable only once in respect of all applicants in a corporate group. The applicant can tick the second box and complete the section below identifying the group of which they are part and providing supporting evidence.

Address – Companies/LLPs should give their registered office address (rather than any other business address).

Registered number – For companies/LLPs.

Financial Services Firm Reference Number or equivalent EEA Authority Number – If the Applicant is an entity authorised by the FCA/PRA (if established in the UK) or recognised by the FCA/PRA (if established in the EEA but outside the UK).

2. LIKELY APPLICANTS (optional)

In the case of a corporate group where multiple entities/brands may register for membership of TeX this section aims to identify which entities/brands are likely to apply for registration.

Completion of this section does not commit an entity to join TeX nor does it guarantee that any subsequent application will be successful.

3. INVOICE INFORMATION

Please complete this section with details of where the invoice for the Joining Fee is to be sent. This does not need to be the name or address detailed in Section 1.

4. ADDITIONAL INFORMATION (if required)

This section may be used to inform TeX of any information relevant to this form such as additional likely applicants.

It should be noted that no applicant may specify any additional provisions, conditions or limitations on the terms of membership of the Contract Club and any additional provisions, conditions and/or limitations which are specified by any applicant will be void and of no effect.

5. VERIFICATION

Please provide details of the MLRO as listed on the FCA Register. We will contact the MLRO to verify that the person named in section 6 is employed and authorised to act on behalf of the company named on this form. Please note that the form will not be processed until we receive confirmation from the MLRO

6. DECLARATION

This section should be signed by an individual that is duly authorised for and on behalf of the entity named in Section 1 and is aware of the requirements of this Declaration.

Upon acceptance of the Contract Club Joining Form and payment of the joining fee a TeX reference number will be issued and should be used in all future correspondence with TeX.

Registration Form

The Registration Form allows an entity/brand to apply for membership of TeX and subsequent inclusion on the TeX register. A separate form will be required for each entity/brand.

1. DETAILS OF ENTITY/BRAND TO APPEAR ON THE TeX REGISTER ('the Applicant')

Address – Companies/LLPs should give their registered office address (or, if different, the address which is to be shown on the TeX register).

Financial Services Firm Reference Number or equivalent EEA Authority Number – If the Applicant is an entity authorised by the FCA/PRA (if established in the UK) or recognised by the FCA/PRA (if established in the EEA but outside the UK).

2. JOINING FEE

Note: The joining fee is payable once in respect of all applicants in a corporate group.

If this is a new application and a Joining Form has also been completed online electronically then tick the first box and proceed to Section 3 Member Category.

If a joining fee has already been paid in respect of the Applicant's corporate group, the Applicant should tick the second box and complete the section below identifying the group of which they are part and providing supporting evidence.

Supporting evidence is documentary confirmation of the group relationship e.g. Audited annual accounts of the entity named on the Joining Form which includes this Applicant in the list of subsidiaries or the Applicant's latest annual return including a shareholder list.

Registered number – For companies/LLPs.

TeX reference number – This will have been sent to the person named on the Joining Form.

3. MEMBER CATEGORY

Please tick only one box in this section.

There are four categories of membership of TeX which are defined in the Membership Agreement as follows:

Service Provider is a party that is a product provider (other than an operator of a regulated collective investment scheme or an investment trust savings scheme as described in paragraph (iii) of the FCA Handbook's definition of product provider) or an ISA manager or a platform service provider (as each of these terms is defined in the FCA Handbook from time to time).

Asset Manager is a party who is ultimately responsible for the maintenance of a fund's register of holders of Units and for the repurchasing of Units that are to be redeemed.

Multi-Role Member is a member of the company who is both a Service Provider and an Asset Manager.

Pension Provider is a party who is responsible for the provision and administration of a Pension Scheme or if one is appointed for the relevant Pension Scheme, the Pension Administrator.

Note: Pension Provider does not form part of the Multi-Role Member category. If you are a Pension Provider in addition to any of Service Provider, Asset Manager or Multi-Role Member then you would need to submit two separate applications.

If, after reading this, you are unsure which category of membership is most appropriate please contact TeX on 01642 666999.

4. REGULATORY INFORMATION

Financial Services Firm Register permissions – Please tick the relevant boxes to confirm which permissions the Applicant holds (if established in the UK) or which equivalent inwardly passported permissions the Applicant holds in relation to those regulated activities (if established in the EEA but outside the UK).

Or, if the Applicant is registering as a Pension Provider and is not shown on the Financial Services Firm Register, please complete the relevant boxes to confirm:

- details of membership of any alternative body / affiliations; and
- reference has been provided and attached from the Chairman of the Trustees of one of the schemes for which they act as administrator.

5. FURTHER INFORMATION ABOUT APPLICANT

Please tick the box to confirm whether, at the point of registration, the Applicant will be in a position to communicate and process transfers manually or manually and electronically.

In the case of manual and electronic communication and processing please provide all mandatory and relevant electronic systems addresses in the boxes provided. Information relating to BICs can be provided by your solution provider.

In the case of an Applicant becoming able to communicate and process electronically after the initial registration the Applicant should advise TeX by email to tex@tisaexchange.co.uk, providing all mandatory and relevant electronic systems addresses.

7. CONTACT INFORMATION

Note: All the email addresses given as part of this Contact Information MUST be continuously monitored by the Applicant.

The TeX Membership Agreement specifies five different roles as follows:

Relationship Manager – The person nominated by each member which is not an individual to act on its behalf. This person will be the main contact with TeX and provide authority for all changes to contact and company information on behalf of the Applicant.

First Tier Escalation Representative – The person to whom TeX or other members should refer operational matters.

Second Tier Escalation Representative – The person to whom TeX or other members should refer unresolved or escalation issues.

Nominated Corporate Representative – The individual to be the nominated representative of the member in the manner provided in Section 323 of the Companies Act 2006.

BAU contact - The person to whom TeX or other members should refer business as usual matters.

It is permissible for one person to fulfil a number of these roles but it is important to note that the first and second tier representative must not be the same individual.

If the Applicant wishes to nominate an additional contact to receive a copy of all email communications from TeX please include details in Section 10 (Additional Information).

8. OPTIONAL

Complete this section if the Applicant has an agent who will deal with TeX and/or other members of TeX.

It is important to include the scope of, or any limits to, the agent's authority. If no limits are specified, TeX and each other member of TeX will be entitled to assume the agent has unlimited authority to act on behalf of, and to bind, the Applicant in relation to any and all matters involving TeX.

Use Section 11 (Additional Information) if you wish to provide additional information.

9. IF APPLICANT'S REGISTERED OFFICE IS OUTSIDE THE UNITED KINGDOM

If the Applicant's registered office address is outside the United Kingdom, the Applicant MUST appoint an agent for service whose address is within the United Kingdom.

10. ANNUAL MEMBERSHIP FEE

The Annual Membership fee is payable by each Marketing Group and is dependent upon the category of membership.

Use this section to identify whether an Annual Membership Fee has been paid by another entity in the same Marketing Group.

The membership year runs from 1st July to 30th June and any members that have not completed payment of the annual membership fee prior to the deadline will be removed from the TeX register.

The invoice for the annual membership fee does not need to be sent to the Applicant so this section should clearly state where and to whom the invoice should be sent.

11. ADDITIONAL INFORMATION (if required)

This section may be used to inform TeX of any information relevant to this form.

It should be noted that no Applicant may specify any additional provisions, conditions or limitations on the terms of the Membership Agreement and any additional provisions, conditions and/or limitations which are specified by any Applicant will be void and of no effect.

This section may also be used to obtain access to the TeX register for additional contacts not already named at Sections 6 and/or 8.

13. DECLARATION

This section should be signed by an individual that is duly authorised for and on behalf of the entity named in Section 1 and is aware of the requirements of this Declaration.

Upon receipt of the Registration Form and acceptance of the Applicant as a member of TeX a reference number will be issued to the Relationship Manager unless otherwise specified in Section 10 (Additional Information).

FOR ANY OTHER QUESTIONS ON THIS DOCUMENT, THE CONTRACT CLUB JOINING FORM OR THE REGISTRATION FORM PLEASE CONTACT TeX ON 01642 666999.