

Pursuant to article 96 of the Law on the Market of Securities and Other Financial Instruments (hereinafter: the Law) and articles 11-16 of the Articles of Association of the Belgrade Stock Exchange jsc, Belgrade (hereinafter: Articles of Association)

**I**  
**Broker-dealer company/Authorized bank**

Full business name	
--------------------	--

submits



/hereinafter: Applicant/ in compliance with the Exchange Articles of Association provides the following data:

abbr. business name					corporate ID number	
corporate seat (town-municipality)			address			
tel		fax		web		e-mail for official communication with Exchange
fiscal ID number		account number		opened with bank		

**II**  
**Data on Applicant's business activity**

Securities Commission Resolution number: <input type="text"/> date: <input type="text"/>	registered activities: broker operations <input type="checkbox"/> dealer operations <input type="checkbox"/> market-maker <input type="checkbox"/> portfolio manager <input type="checkbox"/> agent <input type="checkbox"/> underwriter <input type="checkbox"/> investment advisor <input type="checkbox"/>
--	--

**III**  
**Initial capital and percentage of the founders' interest**

founder		pecuniary form			non-pecuniary form		
		RSD	EUR	%	RSD	EUR	%
business name/name and surname	ID number						
total:							

**IV**  
**Data on representatives and management**

name and surname		function		limitations of representation	
1				yes: <input type="checkbox"/>	no: <input type="checkbox"/>
		tel: <input type="text"/>	<input type="text"/>	e-mail: <input type="text"/>	<input type="text"/>
2				yes: <input type="checkbox"/>	no: <input type="checkbox"/>
		tel: <input type="text"/>	<input type="text"/>	e-mail: <input type="text"/>	<input type="text"/>
Board of Directors					
name and surname		ID number	name and surname		ID number
1			2		
3			4		
5			6		

**V**  
**Data on affiliations**

name of affiliation	address	person managing affiliation

**VI**  
**Data on qualified interest in the management or capital of another legal entity**

business name of legal entity	corporate ID number	% of interest in management	% interest in capital

**VII**  
**Recommendations from Exchange members**

business name of the Exchange member	number and date of recommendation

**VIII**  
**Data on persons authorized to conclude transactions on the Exchange**

	name and surname	ID number	number of Exchange members where the named person was employed during last year
1.			
2.			
3.			

**IX**  
**Data on person authorized to communicate with Exchange under this Application**

name and surname	contact tel.	contact fax	e-mail address

**X**  
**List of documents**

1	Resolution of Securities Commission on working licence approval
2	Resolution of the authorized registry to register the applicant;
3	Contract of organization, with Securities Commission approval
4	Articles of Association, with Securities Commission approval
5	Rules of Business Operation, with Securities Commission approval
6	Tariff Regulations, with Securities Commission approval
7	Contract on membership with the Central Registry/ Contract with a member of the Central Registry
8	Last financial statement, with auditor's report;
9	Irrevocable statement of the applicant on accepting all provisions of these Articles of Association, Rules on Business Operation and Exchange general rules and regulations, and the regulations passed on the basis of the mentioned, as well as their changes and amendments with the obligations of complying with and implementing the above said;
10.	Irrevocable statement of the applicant certifying that the applicant's rules and regulations shall be in compliance with the Exchange rules and regulations, within the period of three months from the date of being granted Membership approval.
11	Statement under substantial liability and penal responsibility on fulfilling, in compliance with the Exchange Rules of Business Operation, technical conditions for access and use of BelexFIX, with specification of the information equipment and telecommunication lines
12	Statement under substantial liability and penal responsibility that shareholders, appointed broker and members of management of the Applicant do not have and have not had that capacity in an Exchange member registered at the Exchange as a person against whom sanctions have been imposed for exchange violations
13	Security instruments – five blank drafts with certified signature of authorized person and five authorized drafts.
14	Signed statement on accepting the professional Ethical code, certified by the relevant professional association;
15	Recommendations of Exchange members
16	Decision of Applicant on appointing the broker (hereinafter:appointed broker) to conduct operations on the Exchange in his name and for his account and to access and use BelexFIX
17	Permission of the Securities Commission for performing brokerage activities, i.e. diploma, confirmation or certificate of the Securities Commission that the broker has passed the professional exam for performing activities at the Exchange;
18	Irrevocable statement of the member certifying that the member shall accept all broker's obligations as his own;
19	Irrevocable statement of the member that the security instruments of the member submitted to the Exchange may be used as security instruments for execution of obligations arising from the business transactions the broker has concluded at the Exchange;
20	Confirmation of the Applicant that the appointed broker (1) is employed for indefinite period (without closing the contract on trial period, ie. trial period has expired, (2) with full time job with the Applicant and that he is (3)in the position for performing broker or dealer operations;
21	Statement from the Ministry of Internal Affairs that the appointed broker has no criminal record from article 25, paragraph 2, item 4 of the Articles of Association, not older than three (3) months

22	Confirmation of the competent court that at the moment of filing the application no proceedings have been initiated against the appointed broker for criminal acts from article 25, paragraph 2, item 4 of the Articles of Association, not older than three months;
23	Confirmation of the Commercial Court that the appointed broker has no criminal record from article 25, paragraph 2, item 5 of the Articles of Association, not older than three (3) months;
24	Card with deposited signature of the proposed person-broker and one photo on optical medium (CD)
25	Contract on Exchange membership status signed by the applicant

\_\_\_\_\_, \_\_\_\_\_ year  
 (place) (date)

M.P.

\_\_\_\_\_  
 signature of the authorized person