

Börse München  
Hopfenstraße 4  
80335 München  
Germany

Person to be admitted

\_\_\_\_\_  
First Name / Last Name

\_\_\_\_\_  
Private Address 1

\_\_\_\_\_  
Street No

\_\_\_\_\_  
Address 2

\_\_\_\_\_  
Zip Code

\_\_\_\_\_  
City

\_\_\_\_\_  
Country

\_\_\_\_\_  
Phone-No.

\_\_\_\_\_  
Fax-No.

\_\_\_\_\_  
E-Mail

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**Declaration Regarding Personal Reliability pursuant to the Admission Regulations  
for Exchange Traders on the Munich Stock Exchange**

**I. Declaration of Professional Qualification**

I declare that I possess the expertise and practical experience necessary to trade  
on the Stock Exchange. In particular

- I possess sufficient knowledge of the Exchange Rules and Regulations and the functionality of exchange trading.
- expertise is provided by an exchange trader examination before the Examination Board of a German stock exchange or by a comparable examination.
- I have participated in trading on a stock exchange or multilateral trading system for a period of at least six months within the last two years prior to the submission.

**II. Declaration of Reliability**

- I declare that there are no criminal or fine proceedings pending against me in accordance with §§ 261, 263, 263a, 264a, 265b to 271, 274, 283 to 283d, 299 or 300 of the German Criminal Code or due to a violation of the German Banking Act, the German Securities Trading Act, Regulation (EU) No. 596/2014 of the European Parliament and Council dated 16 April 2014 on market abuse (Market Abuse Directive), Directive (EU) No. 236/2012 (Short Selling Directive), the German Exchange Act, the German Securities Deposit Act, the German Money Laundering Act or the German Investment Act in their respective current version.

- I declare that I have not been convicted of such an act nor a fine has been imposed in a legally binding manner.
- I declare that whether I nor or a company managed by me has been or is involved in insolvency proceedings or proceedings on submission of an affidavit or comparable proceedings as a debtor.
- To prove reliability, the application includes my complete, signed curriculum vitae (see attachment).

### **III. Admission to other Exchanges**

- I declare that I have been granted admission to another German stock exchange more than six months prior to the time at which the application is submitted to Munich Stock Exchange. A copy of the admission certificate will be submitted to the Management Board.
- I declare that I have been granted admission to a stock exchange outside Germany headquartered within the member states of the European Union or another signatory state of the Agreement on the European Economic Area more than six months prior to the time at which the application is submitted to Munich Stock Exchange. A copy of the admission certificate must be submitted to the Management Board.

### **IV. Authorization**

I herewith authorize the company by which I have been employed most recently to provide information, beyond a professional appraisal, regarding facts pursuant to numbers I. through III. which are relevant for the judgement of my reliability, to the Executive Board of the Munich Stock Exchange.

**I am aware that Munich Stock Exchange stores and uses personal data for the purpose of application processing and necessary contacting in order to fulfill its duties arising from the admission of trading participants or exchange traders. Further information can be found in the Privacy Policy at <https://www.boerse-muenchen.de/rechtliche-hinweise>.**

**With my signature I confirm this use of my personal data and that I have read and understood the Privacy Policy.**

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Date

Place

Signature of person (Name in Capitals)