

Membership
Application

Corporate Advisors &
Introducing Partners



Company Information

1. What type of membership is the Applicant applying for:

FQ Introducing Partner:

Corporate Advisor:

Please note: Corporate Advisors must be authorised & regulated or professionally qualified to undertake their responsibilities as laid out in the GXG Corporate Advisors and Introducing Partners Rules.

2. Company Name

3. Company Registration Number (not required for partnerships)

4. Date & Place of Incorporation (not required for partnerships)

5. Type of Company (e.g. Public Limited Company, LLP etc)

6. Is the Company registered for VAT (or equivalent local tax identification number)?

YES

NO

If yes, please provide in which country and the number

Country:	VAT Registration Number:
<input type="text"/>	<input type="text"/>

7. Registered Office Address (not required for partnerships)

<input type="text"/>	
<input type="text"/>	
<input type="text"/>	
<input type="text"/>	Post Code: <input type="text"/>

8. Office Address (that will provide the Advisory services, if different from Registered Address)

	Post Code:

9. Contact details (to be contacted regarding this Application)

Email:	
Tel:	Website:

10. Company Contact Information (to be placed on the GXG website)

Salutation:	Forename:
Surname:	Position:
Email:	Tel:

11. Directors/Partners Details (please insert full names, continue on a separate sheet if required)

Salutation	Forename	Surname	Position

12. Head of Corporate Finance

Salutation	Forename	Surname
Tel:		Email:
Length of time in position and other details of experience:		

13. Compliance Officer

Salutation	Forename	Surname
Tel:		Email:
Length of time in position and other details of experience:		



14. Have any of the individuals mentioned in points 9,10, or 11 been under special investigation in the past ten years, or currently under special investigation by any regulatory body, government body or other authority, or been convicted of any criminal offence (other than motoring offence)?

Yes:

No:

If yes please provide further information on a separate sheet

15. Does the Applicant currently act as an advisor/sponsor/listing partner on any other Market (list all markets):

If the applicant is applying for FQ Introducing Partner status only, please go to Question 18

16. Is the Advisor authorised and regulated by the Financial Conduct Authority in the UK

No:

Yes:

FCA No.:

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If yes, please go to Question 18.

17. Details of either:

- the regulatory body that authorises and regulates the applicant; or
- the professional body that the applicant is a member of.

Name:	
Address:	
	Post Code:
Website	

18. Firms regulatory identification number

10. If you have a regular, scheduled, or recurring activity, please provide details below:

19. Please provide details of all individuals who hold a controlling interest in the applicant of more than 10% that are not directors or partners or employees of the firm.

Sal.	Forename(s)	Surname	% of total shares issued

20. How long has the applicant been trading?

Years:

21. How long has the applicant been undertaking a regulated activity?

Years:

22. Please provide details of any other relevant information or experience you consider GXG Markets should be aware of.

23. Please provide details of any current threatened or pending legal action being brought by or against the Applicant or any of its subsidiaries or directors/partners that could give rise to a significant effect on the Applicant's financial standing, or that might impact on GXG Markets by the Applicant being approved by GXG.

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24. Please provide details of all persons authorised by the Applicant that will be responsible for providing Issuing Companies with regulated advice

Salutation	Forename	Surname	Email Address

25. Have any of the individuals mentioned in 23 been under special investigation in the past ten years, or currently under special investigation by any regulatory body, government body or other authority, or is currently under investigation/been convicted of any criminal offence (other than motoring offence)?

Yes:

No:

If yes please provide further details in the Note sections of this form.

Notes

Declaration

The Directors/Partners of

(the Company) hereby declare that:

the information provided in this document is true, fair, accurate and not misleading as at the time of signing this document;

they will undertake to promptly notify GXG Markets should they become aware that any of the information supplied in this document has subsequently been discovered, or as the result of any occurrence, to be inaccurate or misleading.

The Directors/Partners acknowledge that:

the information provided in this document may be used to assess the appropriateness of the Company to become a member of GXG Markets and that the information will be assessed by the admission committee;

by signing this application they are bound by the terms set out in the Rules for Corporate Advisors and Introducing Partners as well as the Market Rules for Issuing Companies for each of the GXG Markets.

Date:

Director's/Partner's name

Director's/Partner's Signature

Director's/Partner's name

Director's/Partner's Signature



Should you have any questions about this application please contact:

Alex Bengier
Head of Operations
on +44 207 947 4303 or
email: ahb@gxgmarkets.co.uk

Simon Kiero-Watson
Head of Markets
on +44 207 947 4303 or
email: skw@gxgmarkets.co.uk

Please return applications to:

GXG Markets
Warnford Court
29 Throgmorton Street
London EC2N 2AT