

AQSE

Request to Trade is Suspended Security

March 2020

Request to trade in a suspended security

Pursuant to Rule 5.12 a member firm may apply to Aquis Stock Exchange Limited for permission to trade in a security which is suspended by AQSE. **A separate form must be submitted for each transaction.**

Please email the completed form to the market supervision department: marketsupervision@nexexchange.com

Member firm making application

Contact name and number

Proposed Transaction

Details Security Name

ISIN Code

Symbol

Proposed number of shares | _____

Proposed Price

Name of proposed counterparty
(Include CREST participant code or BIC)

Reason for proposed transaction (please tick appropriate box and provide additional information where required)

To fill a short position
(AQSE will check to ensure the counterparty can deliver the shares. Further details must be provided in the box below)

To wind up a deceased persons estate
(Further details must be provided in the box below)

To fill a short position (*Which was acquired prior to the suspension*):

Size of the short position:

Counterparty Name:

Address & telephone number of the counterparty:

Breakdown of the trades which created the short position (*Please provide details of all individual trades*):

To wind up a deceased person's estate:

Name of deceased person:

Name of Executor:

Proposed Settlement *(The member firm must provide details of how the proposed transaction would be settled)*

Permission is hereby sought under AQSE Rule 5.12 to trade in the suspended security detailed in this form.

Signed for and on behalf of the submitting Member

Position

Contact number

Authorisation will only be accepted from the members firm's Compliance Department.

AQSE Decision

Permission granted/refused

Print Name

Position

Date

Contact number