

3 JANUARY 2017

**REQUEST TO TRADE IN A SUSPENDED
SECURITY**

Request to trade in a suspended security

Pursuant to Rule 5.12 a member firm may apply to NEX Exchange for permission to trade in a security which is suspended by NEX Exchange. **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
(ISDX 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)

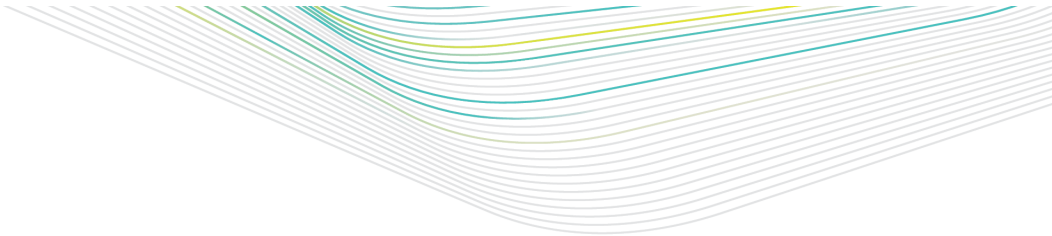
To fill a short position (*Which was acquired prior to the suspension*):

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 NEX Exchange Rule 5.12 to trade in the suspended security detailed in this form.

Signed for and on behalf of the submitting Member

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Print Name Position

Date Contact number

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

NEX Exchange Decision

Permission granted/refused

Print Name Position

Date Contact number