

Morgan Stanley MTF

PARTICIPANT APPLICATION FORM

1. Introduction

Thank you for your interest in becoming a Participant of the MORGAN STANLEY MTF. Please complete this Application Form and return it together with supporting documentation (as requested in the appendices) to the MORGAN STANLEY MTF Membership Department: msmtfmembership@morganstanley.com

MORGAN STANLEY MTF reserves the right to request additional information or supporting documents from Applicants to assist in determining applications for membership. For further information in relation to this Application Form please contact our Compliance team at: MSMTFcompliance@morganstanley.com

2. Details of Applicant

Applicant's statutory name and legal form (please indicate if Applicant is a Branch)	
Commercial name (if different)	
Country of incorporation	
Company registration number	
Registration number issued by Applicant's principal regulator(if applicable)	
BIC code	
Registered address	
Entity LEI code	
Mailing address (if different)	
Switchboard telephone no.	
Switchboard fax no.	
Website address	
Generic company email address	
Contact name (for processing this application)	
Job title/position	
Telephone no. (including extension)	
Email address	
Key Business contact (Day to day)	
Job title/position	
Telephone no. (including extension)	
Email address	

3. Proposed Trading and Clearing Activity

Please indicate the type of trading activity(ies) you intend to perform on MORGAN STANLEY MTF:

Proposed activity(ies)	Please tick
Dealing on own account	
Execution of orders for third parties	

Please add the name and BIC of the relevant clearing member(s) and CCP through which you intend to clear the stocks. If clearing your own business, please write "self".

Country	Trading BIC	Clearing Member(s) / BIC	Clearing Member(s) Mnemonic	Central Counterparty (CCP)
Austria				
Belgium				
Denmark				
Finland				
France				
Germany				
Ireland				
Italy				
Netherlands				
Norway				
Portugal				
Spain				
Sweden				
Switzerland				
UK				

Please confirm your Euroclear member code:

4. Applicant's Profile

Is the Applicant authorised by an EEA regulator?	Yes <input type="checkbox"/> No <input type="checkbox"/> If not, please contact our Compliance team at: MSMTFcompliance@morganstanley.com before completing the rest of this Application Form.
Please confirm the name of the Applicant's regulator (where it is subject to more than one regulatory body, please indicate which is the lead regulator)	
Applicant's authorisation reference number	
Please state which other exchanges or trading venues the Applicant is a member of (please list in Annex 1)	
Is the Applicant listed on an EEA recognised exchange	Yes <input type="checkbox"/> No <input type="checkbox"/>

5. Services required

Please indicate which services your firm would like to sign up for:

Access to MORGAN STANLEY MTF Continuous Cross Book	
Access to MORGAN STANLEY MTF Negotiated Trade Book*	
Access to MORGAN STANLEY MTF Periodic Auction Book	
FIX Drop Copy Feed	
Self-Trade Prevention	

****Where access to the Negotiated Trade Book is requested please enclose examples of the types of transactions you intend to bring to the Book, including the RTS 1 Article 6 category(ies) the transactions will fall into. By submitting this Application Form you are confirming that all transactions which you bring onto the Negotiated Trade Book will fall within one of the categories (i) – (j) of Article 6 of RTS 1.***

Automatic cancel on disconnect

Please state whether you would like your firm's open orders to be automatically cancelled in the event that connectivity to MORGAN STANLEY MTF is lost.

Yes

No

6. Compliance

By submitting this Application Form, the Applicant confirms that the following statements are true (please tick to confirm):

- All relevant staff at the Applicant have read and understood the MORGAN STANLEY MTF Rulebook and Participant Manual and will comply with all of the Rules set out therein.
- All relevant staff, who will be involved in the Applicant's activity on MORGAN STANLEY MTF are competent or are supervised to an adequate level.
- The Applicant has appropriate systems and controls in place to ensure that it complies with the MORGAN STANLEY MTF rules and procedures.

Please explain the measures that the Applicant has in place to prevent disorderly trading:

7. Contact Information & Billing Details

Function/Title	Name	Telephone	Email
Director / Senior Executive			
Head of Trading			
Compliance Officer			
Legal Officer			
Operations / Post trade Manager			
Technology			
Billing			
System alerts & notifications			

Billing Address	
VAT number	
Contact name for invoices	
Title	
Telephone	
Email	

For the Applicant's key personnel, MORGAN STANLEY MTF retains the right to request additional information, for example general references and curriculum vitae.

8. Disciplinary History & Related Matters

These questions relate to the activities of the Applicant itself (including relevant persons) and any other entities within the group, pertinent to its activities on MORGAN STANLEY MTF. These responses should include events which the Applicant considers material and which occurred in the last 5 years.

Has the Applicant or any other relevant parties within the group been (please tick the box(es) that apply):

- found guilty in a criminal court;
- the subject of an adverse finding in a civil or administrative court or tribunal;
- in contravention of any provision of financial services legislation, rules, regulations or statements of principle;
- the subject of disciplinary procedures by any government agency, self-regulating organisation or exchange;
- subject to a refusal or restriction to carry on a trade/business/profession or to disqualification from acting as a director; or
- under special investigation, or is it currently under special investigation, by any auditor, government agency, self-regulating organisation, exchange, taxation or other authority?

9. Applicant Declaration

Capitalised words in this declaration have the meanings as set out in the MORGAN STANLEY MTF Participant Agreement unless otherwise defined herein.

1. The Applicant hereby applies to enter into the Participant Agreement and confirms that the information contained in this Application Form or otherwise provided to MORGAN STANLEY MTF is true, complete and accurate.
2. The Applicant agrees to inform MORGAN STANLEY MTF in the event that it wishes to amend its business profile in relation to its activities on MORGAN STANLEY MTF.
4. The Applicant acknowledges that it has read and understood the Rules and agrees to abide by the Rules on a continuing basis.
5. The Applicant agrees to pay the Fees as specified by MORGAN STANLEY MTF.
6. The Applicant confirms that it has appropriate clearing arrangements in place for the markets that it wishes to trade on MORGAN STANLEY MTF.
7. The Applicant acknowledges and agrees to MORGAN STANLEY MTF using any Personal Data (as defined under applicable data protection/privacy laws) contained in this Application Form or otherwise provided to MORGAN STANLEY MTF in the context of the Participant Agreement, to comply with its obligations under applicable law or regulation, and/or as otherwise specified in the [Morgan Stanley Privacy Policy](#) (the "Purposes").

The Applicant acknowledges that Morgan Stanley Group transfers, processes and stores Personal Data in any country where the [Morgan Stanley Group has offices](#), including countries that provide different levels of protection for the Personal Data. The Applicant further acknowledges that Personal Data may be held, processed and disclosed to third parties in connection with the Purposes and/or as otherwise specified in [Morgan Stanley Privacy Policy](#).

This declaration must be signed by an authorised signatory of the Applicant firm for and on behalf of the Applicant:

Name of the Applicant	
Authorised Signatory of the Applicant	
Full name and job title	
Date	

Appendix A: Trading Contacts

Please list the individuals authorised to request trade cancellations or changes to your firm's trading profile.

Name	Title	Email	Telephone

Please list the individuals authorised to submit Cancel All Orders instructions.

Name	Title	Email	Telephone

It is the responsibility of the Applicant to ensure that these details are up to date and to promptly inform MORGAN STANLEY MTF of any changes on an ongoing basis. Only individuals who are named here will be able to request changes to these details.

Appendix B: Emergency Contacts

Please provide the following details to MORGAN STANLEY MTF so that it is possible for us to contact you in the case of an emergency.

Main Emergency Contact

Name:

Title:

Telephone (office):

Telephone (mobile):

Email address:

Deputy Emergency Contact

Name:

Title:

Telephone (office):

Telephone (mobile):

Email address:

Generic contact for serious incidents

Annex 1: List of Exchange & Venue Membership