

"HIGH VOLUME FUNDS" PROMOTION

Registration Form – Derivatives

Please fill out the form legibly. Incomplete forms will not be accepted.

- **The following documents should be attached to the form:**
 - proof of payment of the collateral by the Exchange Member
 - valid transcript from the company register or other relevant register
 - financial statements of the qualified client for the last financial year or for a period of at least 6 last months
 - Asset Manager/Mutual Fund statute
 - Contact details for key portfolio managers in charge of fund's assets
- Should you have any questions, please contact the Market Development Department (+48 22 537 7482 or 7184) or sales@gpw.pl

The Exchange Member is requested to pay the collateral to the following bank account:

Bank Name: BANK PEKAO SA

Bank Account (IBAN): PL57 1240 6292 1111 0010 5404 0082

SWIFT (BIC): PKOPPLPW

Please provide the following transfer title: „Collateral HVF Promotion – [[Exchange Member's name](#)] – Derivatives”

Please enter the Exchange Member's bank account number to which collateral is to be returned in the events listed in Resolution No. 622/2015 of the Exchange Management Board.....

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I. Details of an Exchange Member applying for participation in the promotional reduction of exchange fees

Full company name (fund's name).....

Address.....

Tel.....

Mobile.....

Email.....

Assets under management (AUM)

Investment policy

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.....

Account Identifier:

For orders submitted under the HIGH VOLUME FUNDS promotion an account identifier should be indicated in order to register transactions covered by lower fees under the above promotion:

- *for orders messages in FIX protocol [account identifier =Tag 1 [Account]]*
- *for orders messages in Binary protocol [account identifier = field [Account/Account_2]]*

Please note that it is imperative that the Account field in orders messages is completed according to the appropriate values indicated in this form.

1. Is qualified the Client ("Client") applying for the reduction of exchange fees in the HIGH VOLUME FUNDS program for the first time?

YES ☐ NO ☐

2. Is the Client a legal person?

YES ☐ NO ☐

3. Are bankruptcy, liquidation or other similar proceedings pending against the Client?

YES ☐ NO ☐

4. Please reveal any other exchanges (if any) where Client conduct business operations:

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.....

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Declaration of the Client

We represent that [[qualified Client's name](#)] fulfils the conditions of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion set out in Resolution No 622/2015 of the Exchange Management Board of 30.06.2015 and in the Annex to the Resolution (as amended).

We shall comply with the terms of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion and notify the Exchange of any change of data in this Form, in particular as concerns the scope and the profile of the pursued business.

We accept that the Exchange Member may provide the Warsaw Stock Exchange with information about orders placed under the HIGH VOLUME FUNDS promotion.

We authorize the transmission of information regarding the HIGH VOLUME FUNDS scheme, from Warsaw Stock Exchange to KDPW SA and KDPW CCP.

First and last name of the Client's representative(s):.....

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Position of the Client's representative(s):.....

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Signature(s) of the Client's representative(s):.....

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I. Details of an Exchange Member transferring orders of a Client

Full company name

We shall comply with the terms of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion.

We shall properly designate orders placed or transferred in the HIGH VOLUME FUNDS promotion as required by the Exchange.

We represent that [[qualified Client's name](#)] fulfils the conditions of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion set out in Resolution No. 622/2015 of the Exchange Management Board of 30.06.2015 and in the Annex to the Resolution (as amended).

We authorize the transmission of information regarding the HIGH VOLUME FUNDS scheme, from Warsaw Stock Exchange to KDPW SA and KDPW CCP.

First and last name of the Exchange Member's representative(s).....

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Position of the Exchange Member's representative(s).....

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Signature(s) of the Exchange Member's representative(s).....

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II. Clearing Agent details

Full company name

We shall comply with the terms of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion.

We shall properly designate orders placed or transferred in the HIGH VOLUME FUNDS promotion as required by the Exchange.

We represent that [**qualified Client's name**] fulfils the conditions of participation in the promotional reduction of exchange fees under the HIGH VOLUME FUNDS promotion set out in Resolution No 622/2015 of the Exchange Management Board of 30.06.2015 and in the Annex to the Resolution (as amended).

We authorize the transmission of information regarding the HIGH VOLUME FUNDS scheme, from KDDPW CCP to Warsaw Stock Exchange regarding matters directly connected with Client's participation in HVP scheme.

First and last name of the Clearing Agent representative(s).....

Dedicated clearing account number.....

Position of Clearing Agent representative(s).....

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Signature(s) of Clearing Agent representative(s).....

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Approval by the Warsaw Stock Exchange

Approval by the Exchange Management Board or an Exchange employee authorised by the Exchange Management Board for [**qualified Client's name**] to participate in the promotional reduction of exchange fees in the HIGH VOLUME FUNDS promotion:

YES ☐

NO ☐

Signature:.....