

ALTERNATIVE TRADING SYSTEM (ATS) APPLICATION

Please complete the following application form to apply for the implementation of an Alternative Trading System (ATS) on the Redeecash Exchange. This form will help us gather necessary information about your proposed ATS and assess its eligibility for implementation.

1. Applicant Information:

- Company Name:
- Legal Entity Type:
- Incorporation Date:
- Registered Address:
- City:
- State/Province:
- Postal/ZIP Code:
- Country:
- Phone Number:
- Email Address:
- Company Website:

2. ATS Details:

- Briefly Describe the Proposed Alternative Trading System:
- Objectives and Purpose of the ATS:
- Target Market or Participant Type (e.g., retail investors, institutional investors):
- Intended Securities to be Traded on the ATS:
- Technology Infrastructure and Trading System Platform Details:

3. SEC ATS Approval:

- Have you obtained approval from the U.S. Securities and Exchange Commission (SEC) for the operation of your ATS?
 - ☐ Yes
 - ☐ No
- If Yes, please provide the SEC approval reference number and date:

4. Compliance Policies and Procedures:

- Do you have documented compliance policies and procedures in place for the operation of your ATS?
 - ☐ Yes
 - ☐ No
- If Yes, please provide a summary of your compliance policies and procedures:

5. Technology and Security Measures:

- Describe the technology infrastructure and security measures implemented to ensure the integrity, reliability, and confidentiality of trading activities on the ATS:

6. Order Handling and Execution:

- Describe the order handling and execution process within your proposed ATS, including any special features or functionalities:

7. Regulatory Compliance:

- Describe how your proposed ATS complies with relevant securities laws and regulations, including market transparency, participant access, and investor protection requirements:

8. Financial Information:

- Provide information regarding the financial stability and resources available to support the operation of the ATS:

9. Risk Management:

- Describe your risk management framework and procedures for identifying, assessing, and mitigating risks associated with the operation of the ATS:

10. Client Protection Measures:

- Describe the measures in place to protect the interests of clients using the ATS, including segregation of client assets and dispute resolution mechanisms:

11. Additional Information:

- Provide any additional information that you believe is relevant to your ATS application:

12. Declaration:

By submitting this application, I declare that the information provided is accurate and complete to the best of my knowledge.

Signature: _____

Date: _____

Thank you for applying to implement an Alternative Trading System on the Redeecash Exchange. We will review your application and contact you regarding the next steps in the implementation process.