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No.	Requested Documents for Approval in Principle	
1	Application Letter for Approval-in-Principle	☐
2	Filled application forms and attestation	☐
3	Commercial Registration Certificate, Investment Permit, and TIN Certificate	☐
4	Memorandum and/or Articles of Association and amendments thereof (as applicable)	☐
5	Memorandum and/or Articles of Association and amendments thereof (as applicable) if the Applicant's Shareholder that is a BusinessOrganization and Commercial registration certificate	☐
6	Board Resolution authorizing the company to become a Trading member of ESX	☐
7	Board Charter	☐
8	Corporate profile, including the Board of Directors and proposed Registered Individuals	☐
9	Organizational chart showing reporting lines	☐
10	Audited Financial Statements (AFS) (if applicable) or Audited Statement of Affairs as at the end of the month immediately preceding the date of filing the application where the applicant has operated for a period of lessthan twelve (12) months as at the date of filing the application or	☐
11	Management Account (Where a period of three (3) or more months has passed since the end of the aforementioned financial year for which the AFS/ASA was prepared	☐
12	Audited Statement of Affairs as at the end of the month immediately preceding the date of filing the application, where the applicant hasoperated for a period of less than twelve (12) months	☐
13	Confirmation that Senior Executive Officers have the requisite qualifications and details of the proposed or licensed Appointed Representatives	☐

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14	Business Plan	☐
15	Evidence of the appointments of registered individuals	☐
16	IDs, Credentials and CVS of the proposed appointed representatives	☐
17	Lease Agreement	☐
18	Information Technology Framework	☐
19	Bank Statement for the paid-up capital of the firm	☐
20	Capital Market Services License or Evidence of Application to the ECMA or Pending process thereof or ECMA authorization	☐

No.	Required documents for Membership	
1	Application Letter for Membership	☐
2	Capital Market Services Provider License from ECMA	☐
3	Copy of license certificate of the requisite personnel as Appointed Representatives from the ECMA or ECMA authorization	☐
4	Sample of Account Opening Forms	☐
5	Proof of Bank Account Opening as required	☐
6	Evidence of Registration with a Central Securities Depositary	☐
7	Payment of the Applicable Membership Admission Fee (250,000 ETB for Broker, Dealer, and Investment Bank, 500,000 ETB- Dealing Member)	☐
8	Internal Control and Risk Management Framework	☐

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9	Internal Policy and documents;	
•	Best Execution Policy	☐
•	AML/CFT Policy	☐
•	Trading and Staff Trading Policy	☐
•	HR Policy	☐
•	Communication Policy	☐
•	Conflict of Interest Policy	☐
•	Data Protection Policy	☐
•	KYC Framework	☐
•	Client Agreement (including the Risk Disclosure Document)	☐
•	Disaster Recovery and Business Continuity Plan	☐
•	Settlement Bank Agreement	☐
10	Operating manuals	☐
11	Onboarding of the necessary personnels required for the business	☐

NB:

- The documents should be submitted in both soft copy and hard copy.
- The original documents must be presented when submitting hard copies of corporate documents for verification purposes.
- Please note that the document review process will only commence once a complete submission has been received.
- Each policy document submitted as part of the membership application shall not exceed 30 pages.
- Each policy document submitted as part of the membership application must be approved by Board Members.