



STOCK EXCHANGE OF MAURITIUS LTD

ANNEXURE A

DATA APPLICATION FORM

Company Name (Data User):	
Contact Name:	
Telephone:	
E-mail:	
Address:	
Country:	

1. Source of Data Feed:

2. DATA FEED TYPE DETAIL ¹	Real-Time		Delayed and/or Specified End of Day
Equities	<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/>
Equity		<input type="checkbox"/>	<input type="checkbox"/>
Debt		<input type="checkbox"/>	<input type="checkbox"/>
Indices		<input type="checkbox"/>	<input type="checkbox"/>

3. DATA FEED USED ²	Explain clearly the per-missioning controls that will be put in place
Internal Display Usage	<input type="checkbox"/>
External Display Distribution	<input type="checkbox"/>
Non-Display Usage: Trading-Based	<input type="checkbox"/>
Non-Display Usage: Non-Trading-Based	<input type="checkbox"/>
Non-Display Usage: Derived Data Creation	<input type="checkbox"/>
Non-Display Usage: Index Creation	<input type="checkbox"/>

4. Where “Non-Display Usage” is selected in 3 above, please explain clearly the nature/type of Non-Display Use and the extent of such use by the Data User (and Affiliate). Data Users are required to classify use of data in non-display usage into the following 3 categories: 1. “Trading-Based/Non-Trading-Based” Usage Purposes 2. Derived Data Creation 3. Index Creation.

5. In terms of AML-CFT compliance and KYC procedures, KYC is the risk-based approach to customer identification and verification conducted by SEM upon onboarding stage. Licensees undergoing KYC, pertain to usage of data for External Display Distribution and Non-Display Usage.

1. Does your institution have a documented AML/CFT compliance program?

Yes No

2. Please indicate your institution's ultimate beneficial ownership?

Yes No

3. List all products and services offered by your institution.

4. Identify your types of distribution channels.

Face to Face Non-face to Face Via Third Parties Via Intermediaries Other

5. Can any of the products or services you provide be vulnerable to abuse by money launderers and/or terrorist financing?

Yes No

6. Identify your institution's customer type:

Resident individuals Non-resident customers Cash intensive businesses Legal persons or arrangements Public enterprises Politically Exposed Persons (PEPs) Other

7. Has your institution conducted and documented a risk assessment to understand how and to what extent it is vulnerable to ML/TF & PF?

Yes No

8. Has your institution developed and implemented procedures for suspicious transactions monitoring and reporting requirements?

Yes No

Note 1: One or more may be selected, with the help of the SEM.

Note 2: One or more may be selected, with the help of the SEM, for correct classification of use.

Note 3: No reporting is required unless there are changes regarding the 3 categories of Non-Display Usage and/or if requested by the Exchange

We hereby represent and warrant that (i) the information contained in this Data Application Form is true and correct in all respects as at the date of signature and (ii) we have been provided with knowledge of the guidelines set by SEM's Data Agreement with Contracted Distributing Users.

The above representations and warranties are acknowledgements of fact by the party which completes and provides this Data Application Form to the SEM (that is the proposed Data User). The proposed Data User must read the above carefully and make sure that each statement is true and correct as the proposed Data User's right to claim that any statement is not true and correct will be limited. The SEM may also have claims and other rights against the proposed Data User if any statement is not true and correct.

Signed at _____ on _____ 20_____

For the Data User, Duly Authorized

Full Name and Designation of Signatory