Mofid Securities

Trading License Application for the Iranian Issuers' Securities

(for legal persons only)

To: The Securities and Exchange Organization

With due respect, Upon submission of this application form, I, the undersigned, request the Securities and Exchange Organization to issue a trading license on the strength of the By-law Governing Foreign Investment in the exchanges and OTC markets and within the domain of the executive regulations thereof in my name so as to be authorized to trade in:

- ☐ Tradable securities on the Tehran Stock Exchange
- ☐ Tradable securities on the Iran Farabourse Co.
- ☐ Other securities issued by the Iranian issuers[1]

Applicant's Identification data

1- Particulars of applicant:

Type of legal personality:

Registration No.: | Place registered: | Nationality:

Registered/subscribed capital (stating the currency unit):

2- Which one of the following can the applicant be classified into?

☐ Private ☐ State/governmental ☐ Other (to be explained):

3- Contact information[2]:

Applicant's domicile/residence Country: | Province/County: | City:

Address: | Zip (postal code):

Telephone No: | Fax No.: | Email:

Website:

4- Has the company been listed on any stock exchange? ☐ YES ☐ NO

[1] Allowed to tick more than one choice.

[2] The Securities and Exchange Organization, Tehran Stock Exchange and Iran Farabourse Company deem the applicant's contact information as stated in this form to be valid for contacts and correspondence unless such information is changed and thereafter the applicant reports this new information in writing to the Securities and Exchange Organization. As such, the new contact information shall be deemed to be valid by the said entities.

5- Information about the holders of over five (5%) percent of applicant's voting rights includes:

No.	Holder of voting right	Nationality	Percentage of voting rights	Final stakeholder[3]

6- Applicant's current activities/employment:

7- The amount of foreign capital imported into the country by the applicant:

Amount of investment	Type of foreign currency

8- The table below should be completed for the capital inflow schedule:

Duration	1 to 6 months upon issue of trading license	6 to 12 months upon issue of trading license	After 12 months upon issue of trading license
Amount			
Type of foreign currency			

9- Style of managing imported capital[4] :

- ☐ Directly by the applicant
- ☐ Indirectly through the applicant's agent or attorney

[3] The contents of the items 4, 5 and 6 are for the information of the Securities and Exchange Organization and shall

[4] The contents in items 7, 8 and 9 are for the information of the Securities and Exchange Organization and shall not bear any liability for the applicant.

10- I have submitted this application form while I have full knowledge about the laws and regulations relating to the investment in securities as stated herein which have been approved by the competent authorities in Iran and have agreed to be bound by such laws and regulations and I have understood that in case I do any act in breach of the laws and regulations stated herein, I shall be liable to the treatment stipulated in the prevailing rules and regulations in Iran.

11- Applicant's authorized signature:

No.	Name (in full)	Position	Telephone	Email	Signature

The applicant is required to submit the following documents along with this application form:

A	Applicant's letter addressing the broker containing the request for issuing of a trading license by the Organization
B	The originals and copies of the documents proving the position and scope of powers of the persons who act as authorized signatories to sign this application form
C	The originals and copies of the articles of association and a document as proof of applicant's (company) foundation.

Notes:

1- The above-mentioned documents shall be produced either in English or in Persian (Farsi). If the originals of the documents are in another language, the production of its translation in English or in Persian shall be sufficient providing that the translation of the given language has been certified by: (1-1) the authorities in charge of the official translation in Iran, (1-2) or by the country in which the applicant resides (1-3) or by the country which has issued such documents.

2- If the copies of the documents, subject of paragraphs (B) and (C) above, produced have been certified by the following appropriate authorities, it shall not be required to present the original documents:
(2-1) a) notaries public licensed by the Judiciary of I.R.I; (2-2) the Embassy or the Consulate of I.R.I at the applicant's place of residence; (2-3) the competent authorities which have been designated for such purposes in the country of the applicant's residence or in the country which has issued the documents.

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To whom it may concern
With compliments and due respect,

Enclosed please find my trading license application for the Iranian issuers' securities along with the required documents to be submitted to the Securities and Exchange Organization for issuance of a trading license in my name.

Truly yours,