

Crypto Facilities MTF Application Pack

Introduction

Thank you for your interest in becoming a member of the Crypto Facilities MTF. Please complete this application form and return it with supporting documentation to mtf-onboarding@kraken.com. Before you complete this application form, you should ensure that you are familiar with the [risks of investing in cryptoasset derivatives](#).

Crypto Facilities reserves the right to request any additional information or supporting documents from Member applicants when considering applications.

Member Applicant Details

Contact Email Address:

Name of Legal Entity:

Commercial name (if different):

Country of Incorporation:

Company Registration Number:

LEI code:

Registered office address:

Phone:

Head office address (if different from registered address):

Is the applicant a standalone entity or part of a group?

If part of a group, please attach a group structure diagram to this application.

Main contact's name:

Main contact's job title:

Main contact's email address:

Does your organisation have an account on Kraken.com?

If yes, please provide the public account ID (IIBAN):

If yes, please confirm that the information and documents we have on file are still valid:

☐ Yes

☐ No

If anything has changed, please indicate here:

☐ Incorporation document

☐ Director information

☐ UBO with at least 25% ownership information

☐ Other (please explain below)

Member Applicant Profile

All Member applicants should ensure that, where relevant, they have the appropriate regulatory authorisation(s) to conduct business on Crypto Facilities. Please note that there are restrictions on jurisdictions from where participants may operate (please see the list [here](#)). Applicants should be aware that the Financial Conduct Authority ("FCA") may contact your home state regulator, if relevant, for additional information.

Regulatory status:

- ☐ Authorised Investment firm
- ☐ Authorised Credit institution
- ☐ Other - please contact us. This may be the situation where the firm has a pending application or the Member applicant has determined there is no need to be authorised and an Investment Firm or Credit Institution.

Note: If you are an authorised Investment Firm or Credit Institution, you are a per se professional client for the purposes of the FCA rules. If you want to make a request for a different categorisation, you can contact us. If you tick “Other”, we may need to obtain further information from you to determine whether or not you are prohibited by applicable law from trading eligible instruments available on the Crypto Facilities MTF. For example, cryptoasset derivatives are not available to retail clients within the UK and Crypto Facilities accordingly does not offer MTF membership to retail clients.

Home State Regulator:

Regulator Reference Number:

Proposed Trading activity

Trading capacity:

- ☐ Dealing on own account
- ☐ Execution of orders for third parties

How will you be predominantly accessing the exchange for trading?

- ☐ API
- ☐ User Interface

Will you trade via the Clearloop settlement network?

☐ Yes

☐ No

Transaction Reporting

Crypto Facilities is obligated to report transactions for Member applicants that are not registered as investment firms. We will be in contact regarding the information required for this. For investment firms the obligation lies with the Member applicant. If you would like Crypto Facilities to provide transaction reporting as a service, please contact mtf-onboarding@kraken.com.

Authorised Contacts/Users

For each employee who will access the account and can discuss account details on behalf of the Member applicant, please attach a list containing the following information:

Name:

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Job Title:

Email address:

Compliance

Please tick the following to confirm the following statements are true:

- ☐ All relevant staff at the Member applicant have read and understood the Crypto Facilities MTF Rulebook and will comply with all of the Rules set out therein.
- ☐ All relevant staff, who will be involved in the Member applicant's activity on Crypto Facilities MTF are competent or are supervised to an adequate level.
- ☐ If trading algorithmically the Member applicant will submit relevant information and confirm all algorithms are tested in the Crypto Facilities conformance environment before deploying these.
- ☐ The Member applicant has appropriate systems and controls in place to ensure that it complies with the Crypto Facilities MTF rules and procedures.

Please confirm the Member applicant has the following (we reserve the right to ask for more specific information in any of the following areas):

- ☐ Internal control mechanisms
- ☐ Effective procedures for risk assessment
- ☐ Effective control and safeguard arrangements for information processing systems
- ☐ Effective controls and procedures to prevent disorderly trading

Disciplinary History

The questions below relate to the activities of the applicant (including directors, senior managers, and beneficial owners) and to any other entities within the group. Your replies should set out material events which occurred in the past 5 years and should include events that have occurred anywhere in the world.

If in doubt as to the materiality or relevance of the event, please disclose the event. Please also disclose any current or ongoing events or proceedings that have not yet been resolved, if one or more possible outcomes of such events or proceedings would be disclosable upon completion. Has the Member applicant or any other relevant parties within the group been (please tick the boxes that apply):

- ☐ Convicted of any criminal offence;
- ☐ The subject of an adverse finding by, or settlement with, any government agency, court, securities exchange, regulatory body or tribunal (each an “**Authority**”);

- ☐ A director, partner or otherwise concerned in the management of a business which has gone into insolvency, liquidation or administration or the equivalent proceedings in a non-UK jurisdiction while the Relevant Party has been connected with such organisation or within one year of that connection;
- ☐ Declared bankrupt or entered into any compromise arrangements with creditors related to bankruptcy or insolvency;
- ☐ The subject of any disciplinary or criminal proceedings or been the subject of any investigation by any Authority which may lead to such proceedings;
- ☐ Refused authorisation or license to carry on a trade, business or profession or to be a member of an exchange; had any such authorisation, membership or license revoked or terminated;
- ☐ Or been disqualified from acting as a director, or in any other regulated role?

Member Applicant Declaration

1. The Member applicant hereby confirms that the information contained in this Application form or otherwise provided to Crypto Facilities is true, complete and accurate.
2. The Member applicant agrees to inform Crypto Facilities in the event that it wishes to amend its business profile in relation to its activities on Crypto Facilities MTF.
3. By submitting this Application, the Member applicant confirms that it has read and understood the Rules set out in the Crypto Facilities MTF Rulebook, and agrees to the terms of the Membership Agreement, and Brokers Membership Agreement (if applicable), as published on the Website from time to time.
4. By submitting this Application, the Member applicant confirms it has read and understood the risks set out on the [Risk Disclosures](#) section of our site.
5. The Member applicant acknowledges and agrees to Crypto Facilities using any personal data contained in this Application form as per the [Crypto Facilities Privacy Policy](#) (which may be updated from time to time).

This declaration must be signed by an authorised signatory of the Member applicant for and on behalf of the Member applicant:

Name of Member applicant

Authorised Signatory of the Member applicant

Full name:

Job title:

Date:

Signature: