

The NASDAQ Stock Market®

# Dual Listing Application

(This listing application should be executed and submitted by an issuer currently listed on a national securities exchange and seeking dual listing on The NASDAQ Stock Market.)

## PART I: Company Information

COMPANY NAME

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ADDRESS OF PRINCIPAL EXECUTIVE OFFICES

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STATE OF INCORPORATION

DATE OF INCORPORATION

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**Market Choice:** An issuer seeking to list on either the Global Select Market or the Global Market will be approved for the market tier with the highest listing standards that the company meets.

NASDAQ Global Select Market®     NASDAQ Global Market®     NASDAQ Capital Market®

## Application - Primary Contact

Please provide a primary contact for the purposes of processing this Listing Application.

NAME

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FIRM

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ADDRESS

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PHONE

FAX

EMAIL

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## Company Contact

If the primary contact supplied above is someone other than an employee of the company, please provide a contact at the company.

NAME

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ADDRESS

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PHONE

EMAIL

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## PART II: Security Information

Description of issue(s) to be listed (include current symbol(s), par or stated value, warrant expiration date and exercise price, ratio for American Depositary Shares to underlying shares, and other relevant information):

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### **PART III: Board Member Information**

Please provide the following information regarding any individuals that have either joined or left the applicant's board since the date of the applicant's last proxy statement. Attach an additional sheet, if necessary.

#### **New Board Members**

Provide each board member's full name (first, middle and last).

NAME \_\_\_\_\_ DATE SERVICE COMMENCED \_\_\_\_\_

PRIMARY EMPLOYER AND POSITION (IF APPLICABLE) \_\_\_\_\_

DEEMED INDEPENDENT UNDER NASDAQ'S RULES  Yes  No \_\_\_\_\_

BOARD COMMITTEE PARTICIPATION (IF ANY) \_\_\_\_\_

Audit Committee  Compensation Committee  Nominations Committee  Other (please specify)

#### **Departing Board Members**

NAME \_\_\_\_\_ DATE SERVICE ENDED \_\_\_\_\_

### **Board Composition and Committees**

Submit a completed Corporate Governance Certification Form, a copy of which can be found on the NASDAQ.com website. Please note that this form need not necessarily accompany the company's initial submission.

### **PART IV: Additional Information and Documentation**

The fact that an applicant may meet NASDAQ's numerical guidelines does not necessarily mean that its application will be approved. In connection with the review of any application, and as set forth in the NASDAQ Listing Rules, NASDAQ reserves the right to request additional information or documentation, public or non-public, deemed necessary to make a determination regarding a security's qualification for initial inclusion, including but not limited to, any material provided to or received from the Securities and Exchange Commission or other regulatory authority.

Please provide the following information in a separate attachment to this application.

#### **Regulatory Proceedings/Litigation**

Provide a detailed description of any ongoing, undisclosed investigation involving either the Company or any of its executive officers or directors being conducted by the SEC, FINRA, the CFTC, the Department of Justice or any other federal or state criminal authority.

