



Application For

# Nasdaq Nordic and Baltic Market

# Nasdaq Membership Application

We \_\_\_\_\_  
are applying for membership to the following exchanges and markets:

|                                   |                 |                 |             |
|-----------------------------------|-----------------|-----------------|-------------|
| <b>Nasdaq Copenhagen</b>          | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Helsinki</b>            | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Iceland</b>             | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Riga</b>                | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Stockholm</b>           | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Tallinn</b>             | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Vilnius</b>             | EQUITIES        | FIXED INCOME    | FIRST NORTH |
| <b>Nasdaq Derivatives Markets</b> | EXCHANGE MEMBER | CLEARING MEMBER |             |

## Type of derivatives membership

Non Clearing Member (NCM)

Direct Clearing Member (DCM)

General Clearing Member (GCM)

## Derivatives members market access

|  |   |   |   |   |
|--|---|---|---|---|
| <b>Derivatives Market Access</b><br>Equity & Index       | SEK Equity & Index Derivatives                          | NOK Equity & Index Derivatives                          | DKK Equity & Index Derivatives                          | EUR Equity Derivatives (Finnish)            |
|  | SEK Index Derivatives ONLY                              | NOK Index Derivatives ONLY                              | DKK Index Derivatives ONLY                              | EUR Index (VINX30, OMXV10)                  |
|  | SEK World Index (Requires separate Basket Request Form) | EUR World Index (Requires separate Basket Request Form) | USD World Index (Requires separate Basket Request Form) |   |
| <b>Derivatives Market Access</b><br>Flexible Instruments | SEK Equity & Index Derivatives (OTC Only)               | NOK Equity & Index Derivatives (OTC Only)               | DKK Equity & Index Derivatives (OTC Only)               | EUR Equity Derivatives (Finnish) (OTC Only) |
| <b>Derivatives Market Access</b><br>Fixed Income         | SEK Fixed Income Futures & Forwards                     | NOK Fixed Income Futures & Forwards                     | DKK Fixed Income Futures                                |   |
|  | SEK Fixed Income Options (OTC Only)                     | NOK Fixed Income Options (OTC Only)                     |   |   |
|  | SEK Repo (OTC Only)                                     | DKK Repo (OTC Only)                                     |   |   |

|  |     |     |     |
|--|-----|-----|-----|
| <b>DERIVATIVES<br/>MARKET<br/>ACCESS</b><br>Generic Rates<br>Instruments | SEK | NOK | DKK |
|--|-----|-----|-----|

## Documents Signing

Nasdaq uses electronic signature application (DocuSign) which allows to sign documents digitally (for example Membership agreement). Based on Company's signature policy, please select one of the below documents signing options:

- A. We agree to sign documents electronically and accept Nasdaq's electronic signature
- B. We are not willing to sign electronically, but accept Nasdaq's electronic signature
- C. We are not willing to sign electronically and we do not accept Nasdaq's electronic signature

## We Intend to Trade

(Please select all that apply and please state the market the information is relevant to).

|                               | XCSE | XHEX | XICE | XRIS | XSTO | XTAL | XVIL | Derivatives |
|-------------------------------|------|------|------|------|------|------|------|-------------|
| <b>Customer Accounts</b>      |      |      |      |      |      |      |      |             |
| <b>Own Account</b>            |      |      |      |      |      |      |      |             |
| <b>As Market Maker</b>        |      |      |      |      |      |      |      |             |
| <b>Algorithmic Trading</b>    |      |      |      |      |      |      |      |             |
| <b>Warrants</b>               |      |      |      |      |      |      |      |             |
| <b>As Liquidity Provider</b>  |      |      |      |      |      |      |      |             |
| <b>As Inter Dealer Broker</b> |      |      |      |      |      |      |      |             |

## Direct Electronic Access (Dea)

(Under MiFID II, Direct Market Access (DMA) is denoted as a type of Direct Electronic Access, please state if any of those accounts will be applicable for your membership).

|                                       |     |                  |
|---------------------------------------|-----|------------------|
| <b>Direct Electronic ACCESS (DEA)</b> | DMA | SPONSORED ACCESS |
| <b>NON-DEA AUTOMATIC ROUTING</b>      |     |                  |

## Post Trade Anonymity on Following Exchanges and Instruments (Equity Only)

|                       | XCSE | XHEX | XSTO |
|-----------------------|------|------|------|
| Shares                |      |      |      |
| Exchange traded funds |      |      |      |

### Price list choice (Equity Market Only)

|                   | Equity Price List |   | Warrant Price List |   |   |
|-------------------|-------------------|---|--------------------|---|---|
|                   | 1                 | 2 | 1                  | 2 | 3 |
| Nasdaq Copenhagen |                   |   |                    |   |   |
| Nasdaq Helsinki   |                   |   |                    |   |   |
| Nasdaq Stockholm  |                   |   |                    |   |   |

There is one specific price list for the exchanges below. Please confirm that the applicant is aware of that exchange's price list.

NASDAQ TALLINN

NASDAQ RIGA

NASDAQ VILNIUS

NASDAQ ICELAND

## Information and Documents to be Included With This Application For Membership

### 1. Banking Information

| Company registration and banking data             |  |
|---|--|
| Company name                                      |  |
| Company address                                   |  |
| General e-mail address                            |  |
| Web address                                       |  |
| Switchboard telephone number                      |  |
| Billing address if different from company address |  |
| VAT number  |  |
| Company number                                    |  |
| SWIFT/BIC Code                                    |  |
| Billing reference person                          |  |

Please confirm if you agree to receive all invoices prepared by the Nasdaq Riga, Nasdaq Tallinn, Nasdaq Vilnius exchanges in accordance with the agreements signed between the exchanges and the company to the company's e-mail address specified below. With the confirmation the company agrees to treat the electronically received invoices with no signature equally to the invoices received via regular mail.

Company's e-mail address to which the Nasdaq Riga, Nasdaq Tallinn, Nasdaq Vilnius exchanges shall send all the invoices:

## Legal Entity Identifier (LEI)

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## 2. Date and place of incorporation of applicant

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## 3. Preferred Market Participant ID

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## 4. Regulatory and compliance information

Home Supervisory Authority: \_\_\_\_\_

The applicant confirms that the Supervisory Authority has been informed of this application

Yes                      No, we are not under obligation to inform the supervisory authority of this application

Will cross-border investment services be provided to the residents of any of the markets?

Yes                      No

Cross-border trade in financial services is defined as the provision of financial services by a financial firm located in one country to a customer residing in another country without the establishment of a commercial presence, such as a branch or subsidiary, in the country of the customer (the "host country"). In this definition, the country in which the financial firm is "located" could be either the country in which it is headquartered or a third country in which it has a branch or subsidiary

### U.S. Person confirmation

Please provide an affirmative representation whether the Company is a U.S. person or not. For purposes of this rule, U.S. person means: (i) any natural person who is a resident of the United States; (ii) any estate of a decedent who was a resident of the United States at the time of death; (iii) any corporation, partnership, limited liability company, business or other trust, association, joint-stock company, fund or any form of enterprise similar to any of the foregoing (other than an entity described in prongs (iv) or (v), below) (a "legal entity"), in each case that is organized or incorporated under the laws of a state or other jurisdiction in the United States or having its principal place of business in the United States; (iv) any pension plan for the employees, officers or principals of a legal entity described in prong (iii), unless the pension plan is primarily for foreign employees of such entity; (v) any trust governed by the laws of a state or other jurisdiction in the United States, if a court within the United States is able to exercise primary supervision over the administration of the trust; (vi) any commodity pool, pooled account, investment fund, or other collective investment vehicle that is not described in prong (iii) and that is majority-owned by one or more persons described in prong (i), (ii), (iii), (iv), or (v), except any commodity pool, pooled account, investment fund, or other collective investment vehicle that is publicly offered only to non-U.S. persons and not offered to U.S. persons; (vii) any legal entity (other than a limited liability company, limited liability partnership or similar entity where all of the owners of the entity have limited liability) that is directly or indirectly majority-owned by one or more persons described in prong (i), (ii), (iii), (iv), or (v) and in which such person(s) bears unlimited responsibility for the obligations and liabilities of the legal entity; and (viii) any individual account or joint account (discretionary or not) where the beneficial owner (or one of the beneficial owners in the case of a joint account) is a person described in prong (i), (ii), (iii), (iv) (v), (vi), or (vii).

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Based on the above meaning of a U.S. person we hereby represent that the Company:  
is a U.S. person                      is not U.S. person

**Investment Firm Status**

| Confirm if your legal entity is a MiFID Investment Firm | YES | NO |
|---|-----|----|
|---|-----|----|

If “Yes”, confirm if your legal entity is listed in ESMA’s register of MiFID Investment Firms  
Yes                      No

If “NO”, please provide documentation to support this status. See 13. Additional forms to be enclosed.

If “NO” please confirm which Transaction reporting solution to be used.  
Full file                      Short code enrichment

**5. Risk Management (Applicable for regulated derivatives clearing members)**

**5.1** Organization chart over Risk Management including description of its role and responsibilities. See 13. Appendices to be enclosed.

**5.2** Is a Risk Committee or similar decision-making organ regarding risks established?  
Yes      No

If “YES”, please answer the following questions below:

5.2.1 What are the main responsibilities?

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5.2.2 What function outside Risk Management are represented?

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**5.3** A comprehensive report on what risk principles and risk routines set by the Board and/or Senior Management that applies to Risk Management including:

5.3.1 How is counterparty risk managed?

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5.3.2 What risk monitoring and control systems are used?

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5.3.3 What methodologies are used?

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5.3.4 What rating-/risk categorization tools are used?

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5.4 What function does Risk Management report to?

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Nasdaq Clearing may ask for additional information and details.

## 6. Settlement Bank Reliance

If the Company's primary settlement bank was unable to process any payments in conjunction with a cash settlement deficit of the Company, the Company would be asked to transfer funds to another settlement bank approved by Nasdaq Clearing to cover the deficit.

- A. Is the Company able to transfer funds to Nasdaq Clearing if such scenario would occur? YES NO
- B. Would there be any time delay in such scenario? YES NO
- C. If time delay, please add a time estimate for completing a transfer under the circumstances described above.
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## 7. Capital Information

Share capital: \_\_\_\_\_

Tied-up reserves: \_\_\_\_\_

## 8. Sanctions Screening Information Form

Please attach complete Sanctions Screening Information Request Form.

## 9. Memberships

- 9.1** Memberships of other Exchanges, Clearing Organisations, Trade Associations, Regulatory Bodies and date entered into such membership:

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- 9.2** Please describe the member's pre-trade controls on order entries by providing responses to the below questions:

- a) Please describe the different steps factors taken into consideration from the time an order is entered in the member's system until it reaches the trading venue:

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b) Please describe how the member ensures that incorrect order entry is prevented, e.g. fat finger mistakes:

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c) Please list the parameters that are included in the member's pre-trade controls:

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**9.3** Please describe your post-trade controls by providing responses to the below questions:

a) Please describe your controls on credit and market risk:

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b) Please describe your controls on trade reconciliation where you take the different steps and factors into consideration from the time a trade is executed on the trading venue:

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**9.4** According to the European Market Abuse Regulation Article 16-2 any person professionally executing transactions are obliged to have arrangements to detect and report suspicious orders and transactions. The arrangements to detect said orders and transactions should take into account the scale, size and nature of the person's trading activity. In the light of the European Market Abuse Regulation, please respond to the below questions:

a) Please describe the department or role that is responsible within the organization for monitoring of trading activity:

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b) Please describe your processes and routines for monitoring all trading activity including the system used (if you are using a technical system for monitoring purposes, please provide the name of it, if you are using a manual system for monitoring purposes, please describe the routine/system):

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c) Please describe the escalation procedure in the situation where a suspicious behavior or potential breach of any applicable rule is identified:

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**9.5** Please describe the technical and administrative arrangements the Company has in place which enables the immediate cancellation, as an emergency measure, any or all of the unexecuted orders submitted to the trading venue(i.e. kill functionality).

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**9.6** Please describe your risk management routines related to the trading activity you intend to perform on Nasdaq exchanges:

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**Applications in Relation to Swedish Markets:**

*(section applicable for Equities, Fixed Income, First North and Derivatives Applicants at Nasdaq Stockholm Exchange)*

**1.** For an applicant that is not authorised as an investment firm or credit institution in the EU (the **“EU Licenses”**) and is applying for membership at Nasdaq Stockholm and/or First North Stockholm (all asset classes) (the **“Swedish Market”**), please complete the following section and provide supporting documents as necessary:

**1.1** Please confirm that the applicant holds a license similar to the EU Licenses in its home jurisdiction and is appropriately authorised in its home jurisdiction to conduct the contemplated activities on the Swedish Market.

Yes      No

- Please provide proof of and scope of authorisation(s)/license(s).

**1.2** Please confirm that the applicant does not require a license in Sweden (pursuant to Swedish laws and regulations) to conduct the contemplated activities on the Swedish Market.

Yes      No

- In order for the applicant to give this confirmation, the applicant should conduct its own Swedish law analysis and engage local legal counsel where necessary. The applicant may also choose to liaise with the Swedish Financial Supervisory Authority (Sv. Finansinspektionen) in case of uncertainty.
- For information: At a basic level, an exchange member, trading on a Swedish Market, is generally conducting dealing on own account and/or, where a client of the exchange member is involved, execution of orders on behalf of clients. Dealing on own account is a MiFID activity and execution of orders on behalf of clients is a MiFID service. MiFID is implemented in Sweden through Lagen (2007:528) om värdepappersmarknaden (the Swedish Securities Markets Act) and accordingly, both conducting dealing on own account (Sv. handel för egen räkning) and execution of orders on behalf of clients (Sv. utförande av order på kundens uppdrag), when

conducted in Sweden on a professional basis require a Swedish licence, unless an exemption applies. The applicant exchange member would therefore need to analyse (i) whether it is conducting regulated activities in Sweden and therefore need a licence and/or (ii) whether an exemption applies.

- If the applicant following its analysis has concluded that it does require a licence in Sweden, Nasdaq Stockholm asks that the applicant member obtains a licence and establish a branch as required under Swedish law and please provide proof of and scope of such authorisation(s)/license(s).

## Applications in Relation to Danish Markets:

*(section applicable for Equities, Fixed Income, First North Applicants at Nasdaq Copenhagen Exchange)*

**1.** For an applicant that is not authorised as an investment firm or credit institution in the EU (the “**EU Licenses**”), but is an investment firm or credit institution in its home jurisdiction and is applying for membership at Nasdaq Copenhagen and/or First North Copenhagen (all asset classes) (the “**Danish Market**”), please complete the following section and provide supporting documents as necessary:

**1.1.** Please confirm that the applicant is an investment firm or credit institution in its home jurisdiction.

Yes      No

- Please provide proof of type of entity.

**1.2.** Please confirm that the applicant holds a license similar to the EU Licenses in its home jurisdiction and is appropriately authorised in its home jurisdiction to conduct the contemplated activities on the Danish Market.

Yes      No

- Please provide proof of and scope of authorisation(s)/license(s).

**1.3.** Please confirm that the applicant does not require a license in Denmark (pursuant to Danish laws and regulations) to conduct the contemplated activities on the Danish Market.

Yes      No

- In order for the applicant to give this confirmation, the applicant should conduct its own Danish law analysis and engage local legal counsel where necessary. The applicant may also choose to liaise with the Danish Financial Supervisory Authority in case of uncertainty.

**2.** For an applicant that does not hold any EU Licenses, and is neither an investment firm nor a credit institution in its home jurisdiction and is applying for membership at the Danish Markets (all asset classes), please complete the following section and provide supporting documents as necessary:

**2.1.** Please confirm that the applicant is not an investment firm or a credit institution:

Yes      No

- Please provide proof of type of entity.

**2.2.** Please confirm that the applicant has obtained approval from the Danish Financial Supervisory Authority (in Danish: Finanstilsynet) pursuant to section 74(4) of the Danish Capital Markets Act to conduct the contemplated activities on the Danish Market:

Yes      No

- Please provide proof of the approval.

**2.3.** If the applicant has not obtained approvals from the Danish Financial Supervisory Authority, please confirm that such approval is not required:

Yes      No

- In order for the applicant to provide this confirmation, the applicant should conduct its own Danish law analysis and engage local legal counsel where necessary. The applicant may also choose to liaise with the Danish Financial Supervisory Authority in case of uncertainty.

## Applications in Relation to Finnish Markets:

*(section applicable for Equities, Fixed Income, First North Applicants at Nasdaq Helsinki Exchange)*

1. For an applicant that is not authorised as an investment firm or credit institution in the EU and is applying for membership at Nasdaq Helsinki and/or First North Helsinki (all asset classes), such applicant needs to demonstrate compliance with the Regulations and Guidelines 14/2013 (in Finnish/Swedish) for trading participants in third countries (as amended or replaced and applicable from time to time). The applicant member shall liaise with Nasdaq Helsinki to obtain further details of information and documentation required to be submitted to Nasdaq Helsinki in order to meet said requirements.

### 10. General description

General description of applicant's business activities and intended trading activities with Nasdaq:

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### 11. Technical information

#### Trading and back office applications

##### Equities Trading Application

Name of trading application used by Applicant: \_\_\_\_\_

Number of HOSTS/servers at Applicant's trading-application: \_\_\_\_\_

##### Derivatives Trading and Back Office Application

Name of trading application used by Applicant: \_\_\_\_\_

Name of back office application used by Applicant: \_\_\_\_\_

##### Fixed Income Trading and Back Office Application

Name of trading application used by Applicant: \_\_\_\_\_

Name of back office application used by Applicant: \_\_\_\_\_

### 12. Clearing and Settlement Information (equities only)

We will trade only equities that are eligible for CCP clearing (please fill in Parts 1 & 2 below).

We will trade only equities that are not CCP cleared (please fill in Part 2 below).

We will trade equities that are eligible for CCP as well as those not CCP cleared (please fill in Parts 1 & 2 below).

## Part 1 - Clearing at Central Counterparty

Which type of participant will the applicant have at the Central Counterparty appointed by Nasdaq Nordic

|            | General Clearing Participant | Direct Clearing Participant | Non-Clearing Participant | Name of General Clearing Participant (if NCP) |
|------------|------------------------------|-----------------------------|--------------------------|---|
| Copenhagen |                              |                             |                          |   |
| Helsinki   |                              |                             |                          |   |
| Stockholm  |                              |                             |                          |   |

\*Iceland, Riga, Tallinn and Vilnius and does not have Central Counterparty clearing.

## Part 2 – Settlement

CLEARING OF EQUITIES THAT ARE NOT CCP ELIGIBLE: Such equities are not cleared at a CCP. They are settled directly at the CSD (Central Securities Depository).

How will you settle at the Central Securities Depository (CSD) on the markets of which you are applying for membership:

| Name of CSD                                    | Direct membership of CSD* | Through a custodian on our own account** | Through a custodian, but not on our own account*** | Name of custodian |
|--|---------------------------|--|--|-------------------|
| VP Securities Denmark                          |                           |  |  |                   |
| The Estonian CSD                               |                           |  |  |                   |
| Euroclear Helsinki                             |                           |  |  |                   |
| The Icelandic Securities Depository            |                           |  |  |                   |
| The Latvian Central Depository                 |                           |  |  |                   |
| The central Securities Depository of Lithuania |                           |  |  |                   |
| Euroclear Stockholm                            |                           |  |  |                   |

Additional documentation might be required by the local CSDs.

\* Applicant will contact the local CSD and apply for direct membership

\*\* Applicant will contact the Custodian to ensure the correct set up in own systems, as well as those of Custodian and CSD. Please state the name of the Custodian.

\*\*\* Applicant will contact Custodian to ensure the correct set up in own systems, as well as those of Custodian and CSD. Please state the name of the Custodian.

## 12. Senior Management and contact persons

| Title   | Name | Tel. Number | E-mail Address |
|---|------|-------------|----------------|
| CEO   |      |             |                |
| Head of Compliance                                |      |             |                |
| Head of Trading                                   |      |             |                |
| Head of Back Office                               |      |             |                |
| Head of Risk Control                              |      |             |                |
| Technical Responsible                             |      |             |                |
| Contact Person For Financial Information          |      |             |                |
| Other Contacts                                    |      |             |                |
| Contact Persons for e.g. Trader Applications etc. |      |             |                |
| Derivatives Operations Collateral Contact         |      |             |                |
| Derivatives Operations Settlement Contact         |      |             |                |
| Derivatives Operations Trading Contact            |      |             |                |

| Trade Cancellations | Email address   |
|---------------------|---|
|                     | Generic email address, (One per MPID allowed). Nasdaq strongly recommends that the email address submitted is non-personal and will have immediate attention of relevant staff. It will be exclusively used by Trading Surveillance to send notifications to market participants of incidents that cause the exchange to evaluate cancellations/adjustments of trades executed in error and of decisions in such matters. |
| Derivatives         |   |
| Equities            |   |

Nasdaq requires the documentation in English or in a Nordic or Baltic language, in order for us to assess the application and approve the membership." This information: For applications including a derivatives membership the application and all supporting documents must be provided in the English, Swedish, Danish or Norwegian language. In case of translations, please provide both the original and translated versions. Translations must be official and in-house translations are generally not accepted.

## 14. Appendices to be enclosed

Please send in the completed application with supporting documentation (all appendices described below) electronically or by post to your contact at Nasdaq. Nasdaq requires the documentation in English or in a Nordic or Baltic language, in order for us to assess the application and approve the membership.

Copy of the relevant authorizations to provide investment services in the relevant jurisdictions (FSA approval) applicable only to regulated members.

Previous two (2) years (A) audited financial statements and (B) annual report for the entity. If existing, also the most recent interim report(s) following the last audited financial statements

Copy of the company's Articles of Association.

Copy of the company's Certificate of Incorporation (max 2 months old).

List of authorized signatories including signature evidence and signature specimens for the persons that will sign the agreements.

Organization chart over Risk Management including description of its role and responsibilities.

Attach Organization chart over the Company's legal structure including reporting lines and number of employees for each department.

Attach proof of and scope of authorisation(s)/license(s) for Application in relation to Swedish markets if applicable (see page 10, question 1.1).

Attach proof of type of entity for Application in relation to Danish markets if applicable (see page 11, question 1.1).

Attach proof of and scope of authorisation(s)/license(s) for Application in relation to Danish markets if applicable (see page 11, question 1.2).

Attach proof of type of entity for Application in relation to Danish markets if applicable (see page 11, question 2.1).

Attach proof of the approval for Application in relation to Danish markets if applicable (see page 11, question 2.2).

## Additional forms to be enclosed

BalticCloud Connectivity Application/Sign-up Agreement, applicable only if to be used by the Member

Margin and Default Fund Contribution Obligations document (applicable to GCM and DCM memberships)

Risk Management Additional questions document (applicable to GCM and DCM memberships)

Additional Information Form, applicable only to Unregulated Members.

Verification of custody bank for bilateral clearing of trades.

To be signed by any Nasdaq Exchange Member that wishes to trade securities that are bilaterally cleared and settled at a CSD where the member does not hold full membership of the CSD. The custody bank must also sign the form to acknowledge that they assume the responsibility for the trades.

General settlement information form, applicable only for the Baltic markets.

Documentation regarding Investment Firm status if applicable, see section 4. Regulatory and compliance information.

Copy of the Member Portal Administrator Appointment form.

Access to Nasdaq Member portal : <http://business.nasdaq.com/memberportal>

Sanctions Screening Information Request Form

## Acknowledgement

Member agreement form

We hereby declare that the information provided herein is complete and accurate and we agree, if approved, to continuously comply with the application criteria and requirements for membership of the exchanges and markets applied for this application.

We acknowledge that each relevant Nasdaq exchange has the right to request any additional information it deems necessary for the purposes of assessing compliance with the applicable pre-conditions for membership.

We undertake to notify each relevant Nasdaq exchange immediately of any changes in the information provided in this application which occur after the date of submission of the application.

We here confirm that we have the requisite risk management routines in place.

### Nasdaq may require further/updated information and/or documentation.

\_\_\_\_\_  
DATE

\_\_\_\_\_  
APPLICANT

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
NAME IN PRINT

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AUTHORIZED SIGNATURE

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NAME IN PRINT

