

## Appendix A – Application to become Certified Adviser on First North

The Entity, \_\_\_\_\_, applies to become Certified Adviser on First North in:

Finland and Sweden.<sup>11</sup> Also for Norwegian and other International Entities.

Denmark.<sup>12</sup>

Iceland.<sup>13</sup>

The Rules enter into force upon the Entity being approved by the Exchange. The Entity undertakes to comply with the Rules in force at First North at any point in time

### Certified Adviser's name and address

NAME:	_____
ADDRESS:	_____
WEBSITE:	_____

### Designated Contact Persons

NAME:	_____
JOB TITLE:	
TELEPHONE:	
CELLPHONE:	_____
EMAIL:	_____
	_____
	_____

<sup>11</sup> Operated by NASDAQ OMX Stockholm

<sup>12</sup> Operated by NASDAQ OMX Copenhagen

<sup>13</sup> Operated by NASDAQ OMX Iceland

NAME:	_____
JOB TITLE:	
TELEPHONE:	
CELLPHONE:	_____
EMAIL:	_____
	_____
	_____

**Name of the Designated Contact Person together with information (not presented in the CV) that is relevant for the fit and proper assessment**

_____
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City: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_  
Authorized Signatory (Certified Adviser)

**Please enclose the following:**

- Annual report
- Articles of Association
- Certificate of Incorporation
- CV of Designated Contact persons
- Document regarding internal trading rules
- Description of the organization and routines established to eliminate conflicts of interests, including an organizational chart
- Appendix H – Acceptance form for the use of personal data
- Billing form