Application Form

Initial Admission to listing / trading of Equity Securities
on Euronext Regulated Markets

Purpose of the Application Form

Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris and Euronext London are regulated markets within the meaning of EU Directives. Each of these Euronext regulated markets is, if not identified by name, referred to as the “Relevant Euronext Regulated Market”. The Relevant Euronext Regulated Markets are respectively organised by Euronext Amsterdam N.V., Euronext Brussels SA/NV, Euronext Lisbon—Sociedade Gestora de Mercados Regulamentados, S.A., Euronext Paris SA, and Euronext London Limited. Each of these market undertakings is, if not identified by name, hereunder referred to as the “Relevant Euronext Market Undertaking(s)”.

This form together with the Appendices (the “Application Form”) is intended for Issuers wishing to apply for the initial admission to listing of Equity Securities (the “Equity Securities”) onto the Relevant Euronext Regulated Market. The Competent Authority for admission to listing onto Euronext London is the FCA. Accordingly, the scope of this Application Form with respect to the United Kingdom is limited to the admission to trading on Euronext London.

This Application Form reiterates undertakings and information which must be provided to the Relevant Euronext Market Undertaking(s) and the documentation which must be submitted according to Euronext rules governing the admission to listing/trading of the Equity Securities onto the Relevant Euronext Regulated Market:

1. With regard to Euronext Amsterdam, Euronext Brussels, Euronext Lisbon and Euronext Paris
	* Book I of the Euronext Rulebook - Harmonised Market Rules, and in particular Chapter 6, "Admission to listing and continuing obligations of Issuers"
	* Book II of the Euronext Rulebook - Specific Market Rules for Euronext Amsterdam, Euronext Brussels, Euronext Lisbon or Euronext Paris
	* Notice N° 6-01, " Euronext Policy with regard to Listing Agent"
2. With regard to Euronext London
	* Book I of the Euronext Rulebook - Harmonised Market Rules, except Chapters 5, 6, 7 and 9.
	* Book II of Euronext London Rule Book, in particular Section 3 “Admission to trading and continuing obligations of Issuers”

Capitalized terms used but not otherwise defined herein shall have the meaning ascribed to such terms in the aforementioned rules.

The information and provisions contained in this Application Form shall not detract from the application of the Rules, which take precedence in the event of any conflict with this Application Form. This Application Form does not infringe the Relevant Euronext Market Undertaking(s)’ right to make admission to listing / trading of any Equity Securities subject to specific conditions or any additional information or documentation, not specifically referred to in this Application Form, it may deem appropriate. This Application Form and the information and provisions it contains are without prejudice to the applicable National Regulations and to the competences of the relevant Competent Authority.

Method and timing for submission of this Application Form

This Application Form should be submitted to the Relevant Euronext Market Undertaking(s) as soon as possible, meaning:

* with regard to admission to listing of Equity Securities on Euronext Amsterdam, Euronext Brussels, Euronext Lisbon and Euronext Paris, at the latest at the time a draft prospectus is filed with the Competent Authority;
* with regard to admission to trading of the Equity Securities onto Euronext London, at the latest when the Issuer applies to the FCA for admission to the Official List. Issuers need to apply to the FCA for admission to the Official List at the same time as the application to Euronext London for admission to trading is made and, as required by the Listing Rules issued by the FCA, admission to the Official List is dependent upon the Equity Securities being admitted to trading on a regulated market and vice versa.

This Application Form, together with all required documentation, should be submitted electronically to the Relevant Euronext Market Undertaking(s) by sending it to: admissions@euronext.com.

In addition, the original version of this Application Form, duly completed and signed, should be sent by post to the Relevant Euronext Market Undertaking(s) using the following address details:

* Euronext Amsterdam – Listing Execution Department, Beursplein 5, 1012 JW Amsterdam, The Netherlands.
* Euronext Brussels – Listing Execution Department, 1 Rue du Marquis, bte 1/ Markiesstraat 1, 1000 Brussels, Belgium.
* Euronext Lisbon – Listing Execution Department, Av. da Liberdade 196 7º, 1250-147 Lisboa, Portugal.
* Euronext London – Listing Execution Department, Beursplein 5, 1012 JW Amsterdam, The Netherlands.
* Euronext Paris – Listing Execution Department, 14 place des Reflets, 92054 Paris La Défense Cedex, France.

# Issuer details

## Issuer

|  |  |
| --- | --- |
| Statutory name: |       |
| Commercial name: |       |
| Address of registered office: |       |
| Place and country: |       |
| Registration number commercial register: |       |
| Legal Entity Identifier: |       |
| Website: |       |
| VAT number: |       |
| Represented by:(*full name(s) and title(s)*) |       |
| Primary contacts:(*full name(s), telephone(s), email(s)*) |       |

## Company of underlying Shares (only in case of admission to listing / trading of Depositary Receipts)

|  |  |
| --- | --- |
| Statutory name: |       |
| Commercial name: |       |
| Address of registered office: |       |
| Place and country: |       |
| Registration number commercial register: |       |
| Legal Entity Identifier: |       |
| Website: |       |
| VAT number: |       |
| Represented by:(*full name(s) and title(s)*) |       |
| Primary contacts:(*full name(s), telephone(s), email(s)*) |       |

Relevant Euronext Regulated Market(s) where admission to listing / trading is requested

|  |  |
| --- | --- |
| Euronext Amsterdam: | [ ]  |
| Euronext Brussels: | [ ]  |
| Euronext Lisbon: | [ ]  |
| Euronext Paris: | [ ]  |
| Euronext London: | [ ]  |

Details of Equity Securities for which admission to listing / trading is requested

|  |  |
| --- | --- |
| Expected number of Equity Securities to be admitted to listing / trading: |      *[indicate the number of existing Shares/equivalent securities]*     *[indicate the number of new Shares/equivalent securities]* *[number needs to be updated and/or confirmed before first admission to trading]* |
| The initial trading of Equity Securities will be listed on an “If-and-When-Issued Basis”: | [ ]  Yes[ ]  No |
| The selected currency for the admission to listing / trading is: |         |
| Nominal value of the Equity Securities: |      *[please indicate the nominal value with the relevant currency as indicated in the articles of association of the Issuer]* |
| Expected market capitalisation at the time of the initial admission to listing / trading: | *[please indicate estimated market capitalisation]* |
| ISIN code: |       |
| CFI code:  |       |
| Desired trading symbol:(serial of 2 (minimum) to 5 (maximum) letters and/or figures (no spaces and special symbols))  |       |
| Scheduled date of admission to listing / trading:(indicative not binding) |       |
| Application to other markets: |      *[if applicable, please specify other markets (regulated, MTF or organised markets) on which application is or will be made in the near future]*  |

Know your customer requirements

In order to enable the Relevant Euronext Market Undertaking(s)s to determine whether the entities and persons listed below are included on the EU Sanction List or the list drawn up by the Office of Foreign Assets Control (OFAC), the Issuer provides the following information[[1]](#footnote-2) (the Issuer is not required to provide this information if other Equity Securities issued by it are already admitted to listing/trading on a Relevant Euronext Regulated Market or Euronext Growth:

|  |  |
| --- | --- |
| Country of incorporation: | [ ]  EU, USA or Canada[ ]  Other, *[please specify place and country]* |
| Type of entity: | [ ]  Company whose Equity Securities are listed / traded on EU regulated market or equivalent market in the USA or Canada. If this box is ticked, the Issuer qualifies as a “Public Company” and the capitalized term “**Public Company**” is used to refer to such Issuer accordingly. [ ]  Company whose Equity Securities are listed / traded on any other trading venue, including MTFs.If this box is ticked, the Issuer qualifies as a “Private Company” and the capitalized term “**Private Company**” is used to refer to such Issuer accordingly. [ ]  Not listed / traded.If this box is ticked, the Issuer qualifies as a “Private Company” and the capitalized term “**Private Company**” is used to refer to such Issuer accordingly.  |

The following tables **only** need to be completed if the Issuer is:

(i) a Private Company; or

(ii) a Public Company incorporated outside the EU, USA or Canada.

Credit institutions or investment firms, incorporated in the EU, USA or Canada or companies that benefit from a guarantee by a credit institution or an investment firm, incorporated in the EU, USA or Canada do not need to complete the following sections.

|  |  |
| --- | --- |
| Names of executive officers (CEO and persons who are authorised to represent the company):(*full name and position*) |                      |
| Names of board members (non-executives / supervisory board members):(*full name*) |                 |
| Names of Beneficial Owners[[2]](#footnote-3): |            |

Undertakings of the Issuer[[3]](#footnote-4)

1. We confirm that we have taken all required steps to comply with National Regulations, and in particular any obligations relating to prospectuses, and undertake to adhere to all initial, periodic and continuing obligations ensuing from such regulations. We confirm that we have complied and will comply with any applicable obligation, including any disclosure obligation ensuing from EU rules on transparency and market abuse.
2. If the present application for admission of Equity Securities to listing / trading is not subject to the requirement to publish a prospectus pursuant to the Prospectus Directive or any other regulation relating to the production and content of prospectuses we confirm under paragraph 7 of this Application Form the legal justification for this non-publication and we confirm that we hereby assume liability for any loss that may accrue to any party as a result of any misinterpretation on our part as to the applicability or otherwise of the Prospectus Directive or any other regulation relating to the production and content of prospectuses.
3. We confirm that:
	* we and our Beneficial Owners are compliant with and will continue to be compliant with the EU Directive 2015/849 of the European Parliament and of the Council of 20 May 2015 on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing (4th Money Laundering Directive)as well as any related regulation or national legislation; and
	* we and our Beneficial Owners are not on the EU Sanction List or the sanction list drawn up by the Office of Foreign Assets Control (OFAC).
4. We confirm that we have fully familiarised ourselves with the Rules governing the Relevant Euronext Regulated Market, which are available on Euronext’s website ([http://euronext.com](http://euronext.com/)), and we undertake to adhere at all times to the aforementioned Rules and any amendments thereto. More particularly, we undertake to comply:
	* Regarding application to listing on Euronext Amsterdam, Euronext Brussels, Euronext Lisbon and Euronext Paris, with any measures which may be applied by virtue of Chapter 6.9 "Listing measures" and with the obligations stipulated in Chapter 6.10 "Continuing obligations" of Book I of the Rules.
	* Regarding application to trading on Euronext London, with any measures which may be applied with regard to application by virtue of Rule 3.9 "Measures for fair and orderly market" of the Euronext London Rule Book II and with the obligations stipulated in Rule 3.10 "Continuing obligations" of the Euronext London Rule Book II.
5. We undertake that all required steps shall be undertaken by ourselves prior to the admission to trading / listing of our Equity Securities onto the Relevant Euronext Regulated Market and in particular that – to the extent applicable – adequate procedures are available for the clearing and settlement of the Transactions relating to those Equity Securities.
6. We confirm that the Shares represented by the Depositary Receipts have been duly issued and will be placed in proper custody at the time of their admission to listing / trading.
7. We confirm that this application for admission to listing / trading relates to all Equity Securities of the same class.
8. For as long as the Equity Securities covered by this application are admitted to listing / trading on the Relevant Euronext Regulated Market, we undertake to request that any other Equity Securities of the same class which may in future be created be admitted to listing / trading on the Relevant Euronext Regulated Market
9. We undertake to communicate to the Relevant Euronext Market Undertaking(s) all information which (i) may impact the fair, orderly and efficient functioning of the markets operated by the Relevant Euronext Market Undertaking(s) or (ii) may modify the price of its Equity Securities (ultimately) at the same time at which such information is made public.
10. We undertake to inform the Relevant Euronext Market Undertaking(s) of any corporate actions / Equity Securities events at least two (2) trading days in advance of the earlier of (i) the public announcement of the timetable for any such corporate or Equity Securities event or (ii) the corporate or Equity Securities event having effect on the market or the position of the holders of the relevant Equity Securities.
11. On receipt of invoices issued by Euronext, we undertake to settle all fees, duties and commissions due in accordance with the procedures and conditions in force referred to on such invoices.

We acknowledge and accept that the delisting/cancellation of admission to listing / trading of our Equity Securities for any reason whatsoever shall cause all amounts due to Euronext to become immediately payable.

1. We accept that our commercial references, whether brand names or otherwise, may be quoted by the Relevant Euronext Market Undertaking(s) or any other company in the Euronext group, in order to promote the Relevant Euronext Regulated Market. These commercial references may include data pertaining to transaction volumes carried out involving our Equity Securities.
2. We confirm that those persons working for the Issuer whose personal data is included in this Application Form knowingly accept that this data is being submitted to the Relevant Euronext Market Undertaking(s).[[4]](#footnote-5) To this end, we confirm that the persons concerned have been informed that:
	* Data relating to them will only be used by the Relevant Euronext Market Undertaking(s), and any other company in the Euronext group, for the purposes of ensuring a continuing sound commercial relationship with the Issuer; and
	* If they wish to exercise their rights under the data protection law applicable to the Relevant Euronext Market Undertaking(s) with respect to the processing of personal data, they may do so by contacting their usual contact within the Euronext group.
3. We confirm that we have submitted this Application Form, together with the documentation referred to in paragraph 7, to the Relevant Euronext Market Undertaking(s), and undertake to notify the Relevant Euronext Market Undertaking(s) of any changes to the information contained in this application, including any new fact which, through its impact on the company's financial situation or business conditions, may significantly affect the price of the Equity Securities or the terms and conditions of the issuance.
4. We confirm that all information we have provided in connection with the application for admission to listing/trading is in all respects accurate, complete and not misleading.

Additional UndertakingS of the Issuer of the Depositary Receipts[[5]](#footnote-6)

1. We confirm that we have concluded an agreement with the Issuer of the underlying Shares and that the Depositary Receipts are or will be validly issued in accordance with the terms thereof as set forth in the agreement and as described in any prospectus prepared in connection with the admission to listing / trading of the Depositary Receipts.
2. We confirm that at the time of the admission to listing / trading, the Shares represented by the Depositary Receipts will have been placed in custody.

Documentation

In accordance with the Rules governing the Relevant Euronext Regulated Market, we undertake to provide the Relevant Euronext Market Undertaking(s) with all the documents, which are required to be submitted in order for the Equity Securities covered by this application to be admitted to listing/trading.

The documents that need to be provided to the Relevant Euronext Market Undertaking(s) are set out below and in Appendices 1 – 3.

We have also indicated the documents which are not enclosed with this Application Form but which are required to be submitted in order for the Equity Securities to be admitted to listing / trading. We undertake to send these documents to the Relevant Euronext Market Undertaking(s) as soon as possible and at the latest by the scheduled date of admission of our Equity Securities to listing / trading.

For the avoidance of doubt, any obligation for the Issuer to provide documentation to the Relevant Euronext Market Undertaking(s) is for the sole purpose to allow the Relevant Euronext Market Undertaking(s) to perform its functions and meet its responsibilities as the operator of the Relevant Euronext Regulated Market. In reviewing this documentation, the Relevant Euronext Market Undertaking(s) solely performs checks on the technical information that allow the Relevant Euronext Market Undertaking(s) to operate the market, without prejudice to Rule 6107 of Book I of the Rules or Rule 3.1.5 of the Euronext London Rule Book II. The Issuer shall not be exempted from providing the same documentation to the Competent Authority.

All documentation that is required to be provided shall be in English or in a language accepted by the Relevant Euronext Market Undertaking(s) and if necessary translated by a certified translator.

## Documentation to be provided in view of an admission to listing / trading of EQUITY Securities on Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris and/or Euronext London

|  |  |  |
| --- | --- | --- |
| General documentation | Enclosed  | To be provided |
| 7.1.A | The prospectus (approved by the relevant Competent Authority) (including – to the extent applicable – proof of passporting), or other substitute document (e.g. information document), duly signed by the Issuer. If the prospectus, or other substitute document, is in the process of being written, the Issuer shall provide the Relevant Euronext Market Undertaking(s) with a copy of each draft version of the prospectus or other substitute document (compliant with the applicable instructions of the relevant Competent Authority if applicable) as soon as possible and at the latest when sent to the Competent Authority for approval.If no prospectus will be published, the Issuer shall provide the Relevant Euronext Market Undertaking(s) with the legal justification of such non-publication and, if applicable, with the document published pursuant to the concerned provision of the Prospectus Directive(as amended). | [ ]  | [ ]  |
| 7.1.B | A certified copy of the Issuer's consolidated articles of association (the By-laws). | [ ]  | [ ]  |
| 7.1.C | A copy of minutes from the relevant company body or bodies containing resolutions approving or authorising the admission to listing/trading and the issue of the Equity Securities covered by this application (as the case may be). | [ ]  | [ ]  |
| 7.1.D | An extract from the official trade register / chamber of commerce in respect of the Issuer (“Uittreksel” / “Extrait Kbis” / “Conservatória do Registo Comercial”). | [ ]  | [ ]  |
| 7.1.E | A letter from the Listing Agent confirming that it shall fulfil this role for the admission of the Equity Securities, or a copy of the contract entered into by the Issuer and Listing Agent for this purpose.  | [ ]  | [ ]  |
| 7.1.F | All press releases published in the context of the admission to listing / trading. | [ ]  | [ ]  |
| 7.1.G | If admission to listing / trading is accompanied by the creation of new Equity Securities, a copy of the notarial deed or similar official deed certifying the creation of the new Equity Securities (if applicable). | [ ]  | [ ]  |
| 7.1.H | If the Equity Securities covered by this application are already listed on one or more regulated markets, multilateral trading facility(ies) or any other type of financial market (other than a market organised within the Euronext group), a certificate from the organiser(s) of the relevant market(s) certifying such listing.  | [ ]  | [ ]  |
| 7.1.I | If the Issuer wishes Equity Securities to be admitted to listing / trading on an "if and when issued/delivered" basis, and if the information and Undertaking(s) stipulated in Rule 6.8 of Book I of the Rules are not set out in the prospectus, a letter from the Issuer in which the aforementioned commitments are given and the aforementioned information is provided. | [ ]  | [ ]  |
| 7.1.J | Unless they are included in the prospectus, copies of the published or filed audited financial statements or pro forma financial statements as required by Rule 6702/1 (ii) of Book I of the Rules. | [ ]  | [ ]  |
| 7.1.K | Certified copy of the consolidated articles of association (the By-laws) of the underlying company (for Depositary Receipts only). | [ ]  | [ ]  |

By signing this Application Form, we certify that all the information provided in connection with the application for admission to listing/ trading of the Equity Securities is in all respects accurate, complete and not misleading.

This Application Form and the rights and obligations of the parties hereto shall be governed by and construed:

1. in respect of Euronext Amsterdam, in accordance with the laws of the Netherlands and, without prejudice to any agreement to go to arbitration, shall be subject to the exclusive jurisdiction of the Dutch courts;
2. in respect of Euronext Brussels, in accordance with the laws of Belgium and, without prejudice to any agreement to go to arbitration, shall be subject to the exclusive jurisdiction of the Belgian courts;
3. in respect of Euronext Lisbon, in accordance with the laws of Portugal and, without prejudice to any agreement to go to arbitration, shall be subject to the exclusive jurisdiction of the Portuguese courts;
4. in respect of Euronext Paris, in accordance with the laws of France and, without prejudice to any agreement to go to arbitration, shall be subject to the exclusive jurisdiction of the French courts;
5. in respect of Euronext London Limited, in accordance with the laws of England and Wales and, without prejudice to any agreement to go to arbitration, shall be subject to the exclusive jurisdiction of the English court.

[Name of Issuer][[6]](#footnote-7)

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|  |  |  |  |
| --- | --- | --- | --- |
| Name:  |  | Name: |  |
| Title: |  | Title: |  |
| Date: |  | Date: |  |
| Place: |  | Place: |  |

Appendix 1 – Additional documentation for Euronext Lisbon

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| **1 Additional documents to be provided for an application for admission to listing of Equity Securities on Euronext Lisbon** | Enclosed | To be provided |
| 1.A | The identification of the Market Relations Representative (n° 4 article 233 of the Portuguese Equity Securities Code and article 24 CMVM Regulation 3/2006). | [ ]  | [ ]  |
| 1.B | If the issue of Equity Securities is integrated in an Equity Securities system managed by an entity situated or operating abroad, copy of the agreement in respect of a “Financial Intermediary Liaison” signed in accordance with article 25 of CMVM Regulation 3/2006). | [ ]  | [ ]  |
| 1.C | Certified document issued by the competent social insurance organism (“Centro Regional de Segurança Social”) indicating the status of payments due by the Issuer to the Social Insurance (“Segurança Social”) (article 227, nº 3 paragraph a) of the Portuguese Securities Code and article 15, paragraph c) e d) of the Decree-Law nº 411/91 of 17 October). | [ ]  | [ ]  |
| 1.D | Certified document issued by the competent taxation authority (“Repartição de Finanças da sede do Emitente””) indicating the status of payments due by the Issuer to the Taxation Authorities. (“Fazenda Nacional”) (article 227, nº 3 paragraph a) of the Portuguese Securities Code and article 1, paragraph c) e d) of the Decree-Law nº 236/95 of 13 September). | [ ]  | [ ]  |
| 1.E | The identification of the paying agent that guarantees the payment of the equity rights inherent in the Equity Securities to be admitted and other amounts due (article 227, nº 4 of the Portuguese Securities Code and article 24 CMVM Regulation 3/2006). | [ ]  | [ ]  |
| 1.F | A legal opinion confirming that the requirements of article 227 nº 1, 2 and 3 paragraph a) and article 231, nr 1 of the Portuguese Equity Securities Code are met (**only for foreign Issuers and if the Competent Authority so requires**) | [ ]  | [ ]  |

Appendix 2 – Additional documentation for Euronext Paris

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| **2 Additional documents to be provided for an application for admission to listing of Equity Securities on Euronext Paris** | Enclosed  | To be provided |
| 2.A | Certification (in French) by the consular authorities in France or by a legal opinion issued by a duly recognized law firm that the documents submitted by the Issuer are in conformance with the laws and practices of its country of origin (**for foreign Issuers only**). | [ ]  | [ ]  |
| 2.B | In cases where the issue relates to a merger or asset contribution, copies of the related agreement(s), minutes of the shareholder meetings that ratified the merger or contribution, minutes of related board meetings, the statutory auditor's report / appraisers' report on assets or particular benefits (if applicable) and the related legal notices **(for the admission to listing/trading of Equity Securities only**). | [ ]  | [ ]  |

Appendix 3 – Additional documentation for Euronext London

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| **3 Additional documents to be provided for an application for admission to trading of Equity Securities on Euronext London** | Enclosed | To be provided |
| 3.A | A copy of the Regulated Information Service announcement relating to the admission. | [ ]  | [ ]  |
| 3.B | Evidence that the administration of corporate events and the payments of dividends are ensured. | [ ]  | [ ]  |
| 3.C | Evidence that the adequate procedures are available for the clearing and settlement of the transactions on the Equity Securities issued. | [ ]  | [ ]  |
| 3.D | If the Issuer wishes Equity Securities to be admitted to trading on an "if and when issued/delivered" basis, and if the information and Undertaking(s) stipulated in Rule 3.8 of the Euronext London Book II are not set out in the prospectus, a letter from the Issuer in which the aforementioned commitments are given and the aforementioned information is provided (**for the admission to trading of Equity Securities / Depositary Receipts only**). | [ ]  | [ ]  |
| 3.E | Confirmation that the Depositary Receipts have been issued (**for the admission to trading of Depositary Receipts only**). | [ ]  | [ ]  |

CONTACTS

General: admissions@euronext.com

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Damien Pelletier

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1. Government and semi-government entities are not required to provide know your customer information. Non EU, US and Canadian government and semi-government entities will be checked against EU Sanction List and OFAC list. [↑](#footnote-ref-2)
2. ‘Beneficial owner’ means any natural person(s) who ultimately owns or controls the issuer/or the natural person(s) on whose behalf a transaction or activity is being conducted. A natural person with a direct or indirect shareholding or an ownership interest of more than 25 % in the issuer qualifies as a Beneficial Owner. [↑](#footnote-ref-3)
3. In respect of Depositary Receipts the Undertaking(s) set out in this paragraph are deemed to be made by the company of the underlying shares and the Issuer of the Depositary Receipts. [↑](#footnote-ref-4)
4. The information used by the Relevant Euronext Market Undertaking(s) shall be subject to the privacy policy available on the Euronext website, www.euronext.com. [↑](#footnote-ref-5)
5. Undertaking(s) only applicable in case of admission to listing / trading of Depositary Receipts. [↑](#footnote-ref-6)
6. In case of Depositary Receipts the Application Form must be duly signed on behalf of the Issuer and the underlying company. [↑](#footnote-ref-7)