**Application form for a specific permission to operate a DLT market infrastructure (Regulation (EU) 2022/858 (DLT MI))**

Date: ………………………………

FROM:

Name of applicant:

Address:

TO:

Markttoegang\_AM@afm.nl

In accordance with the ‘ESMA Guidelines on standard forms, formats and templates for requesting permission to operate a DLT market infrastructure (**DLT MI**)’, please find below the application form for specific permission to operate a DLT MI, i.e.: a DLT multilateral trading facility (**DLT MTF**), a DLT settlement system (**DLT SS**) and a DLT trading and settlement system (**DLT TSS**), as required by Articles 8 to 10 of Regulation (EU) 2022/858 respectively.

**Contents**

In order to process the application, the AFM must have the correct information at its disposal, and this information must be complete.

The tables accompanying this application form are derived from the ‘ESMA Guidelines on standard forms, formats and templates for applying for permission to operate a DLT market infrastructure’ and are an essential part of the application. We recommend that you study the content and context of the Regulation with regard to what is expected of you. These documents are available in Dutch and English. [EUR-Lex – 32022R0858 – EN – EUR-Lex (europa.eu)](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32022R0858&qid=1685018611076).   
  
The applicant as referred to below is the institution for which the permission is requested. You can submit your answers in Dutch or English.

**Note**

Please take the following points into account:

1. In order to submit an application for permission, the applicant is required to use this application form and the accompanying Appendix in which the tables derived from the ‘ESMA Guidelines on standard forms, formats and templates for applying for permission to operate a DLT market infrastructure’ that must be completed can be found.
2. You must complete and sign the application form including the tables, save it and send it by email to Markttoegang\_AM@afm.nl. Enclosed documents must be submitted on a durable medium. Files can be shared digitally with the AFM using the Cryptshare program, via https://filetransfer.afm.nl/Start.
3. An amount is payable by the applicant to the AFM for submitting the application. Costs will be charged by the AFM even if the request for permission does not lead to permission being granted.
4. The AFM will not process an application for permission until it has been submitted in full and in accordance with the requirements.
5. The AFM has the right to request additional information and/or documents that are required for the assessment of the application for a permission.
6. If, during the application for permission, changes occur in the data as shown in the application form and the information in the corresponding tables, the AFM must be informed immediately in writing.
7. When applying for a specific permission to operate a DLT MI, all applicants should provide the competent authority with the following information:
8. Table 1 of the Appendix: general information about the applicant; and
9. Table 2 of the Appendix: general information to be included in the application for a specific permission to operate a DLT MTF, DLT SS or DLT TSS.
10. Depending on the regulatory status of the applicant and the nature of their application, Table 3 and/or Table 4 of the Appendix should be provided as follows:
11. Where the applicant is or intends to be authorised as an investment firm or to operate a regulated market under Directive 2014/65/EU and intends to operate a DLT MTF or a DLT TSS, it should provide the below information:

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| **Permission sought** | **Information to be provided** |
| **1 – Permission to operate a DLT MTF in accordance with Article 8(1) or (2) of Regulation (EU) 2022/858** | For (an) exemption request(s) to Directive 2014/65/EU and Regulation (EU) no. 600/2014 under Article 4 of Regulation (EU) 2022/585: **Table 3** |
| **2 – Permission to operate a DLT TSS in accordance with Article 10(1) or (2) of Regulation (EU) 2022/858** | For an exemption request to Directive 2014/65/EU and Regulation (EU) no. 600/2014 under Article 4 of Regulation (EU) 2022/585: **Table 3**  For an exemption request to Regulation (EU) no. 909/2014 under Article 5 of Regulation (EU) 2022/858: **Table 4** |

1. Where the applicant is or intends to be authorised as a CSD under Regulation (EU) No 909/2014 and intends to operate a DLT SS or a DLT TSS, it must provide the below information:

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| **Permission sought** | **Information to be provided** |
| **1 – Permission to operate a DLT SS in accordance with Article 9(1) or (2) of Regulation (EU) 2022/858** | For an exemption request to Regulation (EU) no. 909/2014 pursuant to Article 5 of Regulation (EU) 2022/858: **Table 4** |
| **1 – Permission to operate a DLT TSS in accordance with Article 10(1) or (2) of Regulation (EU) 2022/858** | For an exemption request to Directive 2014/65/EU and Regulation (EU) no. 600/2014 under Article 4 of Regulation (EU) 2022/858: **Table 3**  For an exemption request to Regulation (EU) no. 909/2014 under Article 5 of Regulation (EU) 2022/858: **Table 4** |

1. For each document listed in Table 2, 3 or 4, the applicant must provide at least the following information:
2. the unique reference number of each document;
3. the title of each document;
4. the chapter, section or page of each document where the relevant information is provided.
5. In order to prevent the applicant from having to submit the same information or document twice, reference may be made to the relevant information or documents submitted in another part of their application file.
6. When the applicant considers that information in addition to the one be provided under Table 2, Table 3 or Table 4 is relevant for the purposes of the specific permission, the applicant may submit additional specific documents.

If you have any questions about completing the form, you can send them to Markttoegang\_AM@afm.nl

**Signature**

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| --- |
| The undersigned declares that they have completed this application form (including the tables) and the accompanying Appendices completely and truthfully.  Town/city Date    Name of person in charge of day-to-day policy Signature of person in charge of day-to-day policy  Town/city Date    Name of person in charge of day-to-day policy Signature of person in charge of day-to-day policy |