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| APPLICATION FORMDeferrals for investment firmsPlease fill in, sign and return to:

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| **Dutch Authority for Financial Markets****Attn. Bas Dommerholt****P.O. Box 11723** **1001 GS Amsterdam** **The Netherlands** **and/or scan the form and send per email to:** **Mifid2\_deferral@afm.nl** |

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Date document: 23 February 2018

APPLICATION FORM

Dutch Authority for the Financial Markets

The Dutch Authority for the Financial Markets (*Stichting Autoriteit Financiële Markten*, **AFM**) is an autonomous administrative authority within the meaning of Section 1:1(b) of the General Administrative Law Act (*Algemene wet bestuursrecht*). The AFM has been designated as the supervisory authority for the financial markets in the Netherlands.

The AFM’s competence to deliver a decision to deferred publication set out in Articles 7(1), 11(1), 11(3) and 21(4) of Regulation (EU) No 600/2014[[1]](#footnote-1) (*MiFIR*) is based on those articles in conjunction with Article 1:25(3) of the Dutch Financial Supervision Act (*Wet op het financieel toezicht*) and Article 2(1)(m) of the Decree on implementation of the EU Regulation for the Financial Markets (*Besluit uitvoering EU-verordeningen financiële markten*).

Request for deferred publication

The AFM is only able to deliver a decision when the application form is completely filled in and signed. This application form also has to enclose a filled in *AFM Excel template deferrals for investment firms*[[2]](#footnote-2) which provides a detailed description of the request for deferred publication.

The *AFM Excel template deferrals for investment firms* should be filled in by investment firms who want to make use of deferred publication of transactions undertaken outside trading venues in instruments that are “traded on a trading venue” (ToTV), and where the trading venue itself does not defer publication of its transactions in those specific instrument. These are requests for large in scale, illiquidity, and size specific to the instrument deferrals for non-equity.

Please note: The above mentioned documents are only applicable to investment firms (that do not operate a trading venue). Would you like to apply for a deferral on behalf of a market operator or an investment firm operating a trading venue? If yes, please submit the documents as included on [Application deferral market operators](http://www.digitaal.loket.afm.nl/EN-US/DIENSTEN/MARKET-OPERATORS/Pages/aanvraag-deferral.aspx?tab=4).

Official request

Please fill in the details below.

Name of company according to the articles of association (‘the Applicant’):

Address according to the articles of association:

AFM license number:

Name of representative:

Position:

Tel. (office):

Email:

Date:

The Applicant hereby requests the AFM for authorization of deferred publication as further described in the enclosed *AFM Excel template deferrals for investment firms*.

**Signature:**

1. Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 [↑](#footnote-ref-1)
2. Link to the [digital portal of the AFM](http://www.digitaal.loket.afm.nl/en-US/Diensten/Beleggingsondernemingen/Pages/aanvraag-deferral.aspx?tab=4), *AFM Excel template deferrals for investment firms* [↑](#footnote-ref-2)