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| APPLICATION FORM  Deferrals for market operators and investment firms operating a trading venue  Please fill in, sign and return to:   |  | | --- | | **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** | |

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 market operators and investment firms operating a trading venue*[[2]](#footnote-2) which provides a detailed description of the request for deferred publication.

The *AFM Excel template deferrals for market operators and investment firms operating a trading venue* has two different sheets:

1. Equity application form: This is a request for a large in scale deferral for equity and equity-like instruments;
2. Non-equity application form: 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 market operators and investment firms operating a trading venue. Would you like to apply for a deferral on behalf of an investment firm that does not operate a trading venue? If yes, please submit the documents as included on [Application deferral investment firms](http://www.digitaal.loket.afm.nl/en-US/Diensten/Beleggingsondernemingen/Pages/aanvraag-deferral.aspx).

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 market operators and investment firms operating a trading venue*.

**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/MARKET-OPERATORS/Pages/aanvraag-deferral.aspx?tab=4), *AFM Excel template deferrals for market operators and investment firms operating a trading venue* [↑](#footnote-ref-2)