

First North Growth Market: Certified Adviser Application

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 Growth Market at any point in time.

Record Id:

GENERAL COMPANY INFORMATION

Entity Name of Certified Adviser		*
Legal Company Name, if name is not the same as legal name		
Legal Group Name, if the Company belongs to a group		
Address 1 *		
Address 2		
City *		
Province		
Postal/Zip Code		
Country *		v
EU Home Member Country, if other than the country of the listing in the application		v
Telephone		*
Website		*

Listing Venue Information

In which market would the Company like to become a Certified Adviser on First North Growth Market: *

- ☐ Denmark (operated by Nasdaq Copenhagen A/S)
- ☐ Finland (operated by Nasdaq Helsinki Oy)
- ☐ Sweden (operated by Nasdaq Stockholm AB)
- ☐ Iceland (operated by Nasdaq Iceland HF.) **

Please select any additional markets where entity is applying to become a Certified Adviser:

- ☐ Denmark (operated by Nasdaq Copenhagen A/S)
- ☐ Finland (operated by Nasdaq Helsinki Oy)
- ☐ Sweden (operated by Nasdaq Stockholm AB)
- ☐ Iceland (operated by Nasdaq Iceland HF.) **

**Does not have the First North Growth Market Status.

Contacts

Please provide contacts for the purposes of processing this form. In addition, Nasdaq recommends that you share access to this form with at least one other company or legal representative by entering their email address on our [Share Your Form](#) page.

	Certified Adviser		Additional Certified Adviser		Additional Certified Adviser
Name		*		*	
Title/Firm					
Email		*		*	
Telephone		*		*	
Cell Phone		*		*	
Primary Contact	☐		☐		☐

Billing Contacts

Please provide the Company's billing address, if the address is different than the Company Address provided above.

☐

Check here, if billing address is the same.

Billing Address 1		*
Billing Address 2		
Billing City		*
Billing State/Province		
Billing Postal Code		*
Billing Country		☐ *
VAT-number (EU Countries Only)		

Please provide contact information for someone within your Company's Finance department.

Billing Contact	
Name	
Title	
Email	
Telephone	
Fax	

SUPPORTING DOCUMENTS AND CONFIRMATIONS

Prior to approval, Nasdaq will require the following supporting documentation. These documents should be submitted electronically.

- Annual Report
- Articles of Association
- Certificate of Incorporation
- CV of Designated Contact Persons

- Documents regarding internal trading rules
- Description of the organization and routines established to eliminate conflicts of interest
- Organizational chart
- Acceptance form for the use of personal data
- Documentation for fulfillment of requirements in rule 5.2 in the First North Growth Market Rulebook, i.e. internal procedures etc.

Please submit also information that is relevant for the fit and proper assessment.

Select documents using the "Browse" button. To attach multiple documents, hold CTRL key while making the selection. Documents should be provided using one of the following formats: **MS Word, MS Excel, CSV, JPEG, EPS or PDF**.

AFFIRMATION

Certified Adviser Affirmation

Name

 *

Title/Firm

 *

Date

 *

Initial Here

 *

I am the person indicated above with legal authority to provide information on behalf of the Company's Certified Adviser, and I hereby confirm that the Certified Adviser undertakes to comply with the Nasdaq First North Growth Market Rulebook at any point of time.

Form Created By: on ; Form Last Updated By on , Form Owned By:

* Indicates a field required for submission.