

Annex II

Notification of intent to make use of exemption the under Article 17(1) of Regulation (EU) No 236/2012 of the European Parliament and the Council of 14 March 2012 on short selling and certain aspects of Credit Default Swaps

1	Details of NOTIFYING PARTY	
a)	First name LAST NAME Full company name	
b)	BIC code (if the holder has one)	
c)	Country	
d)	Address	
2	Contact person	
a)	First name Last name	
b)	Phone number	
c)	Fax number	
d)	E-mail address	

3	Details of Market Making	
a)	STATUS (of the notifying party (credit institution, investment firm, third country entity or firm as referred to in point (l) of Article 2(1) of Directive 2004/39/EC))	
b)	MARKET MEMBERSHIP (trading venue(s) where membership exists)	
c)	DETAILED DESCRIPTION OF ACTIVITIES ACCORDING TO ARTICLE 2(1)(k) or INDICATION OF EXPECTED ACTIVITIES ACCORDING TO ARTICLE 2(1)(k)	
d)	FINANCIAL INSTRUMENT (S) (provide information in specific spreadsheet in CSV format)	
	(i) INSTRUMENT (share, sovereign issuer of debt instrument, CDS)	
	(ii) CATEGORY OF INSTRUMENT on which market making activities are conducted, only when different from (i) (by designation of the financial instrument/ underlying)	
e)	DESCRIPTION OF CONTRACTUAL AGREEMENT (main duties and activities)	



Date, signature _____

Annex III

Format of the spreadsheet (csv file) to use together with the forms for the notification of intent to make use of exemption the under Article 17(1) and 17(3) of Regulation (EU) No 236/2012 of the European Parliament and the Council of 14 March 2012 on short selling and certain aspects of Credit Default Swaps

Name of the informing competent authority:

Name of the notifying person:

ID code* (e.g. BIC):

*please specify what code is provided if not BIC

For shares

No	ISIN	Name of the issuer	Market Membership (for Art. 17(1))
1			
2			
3			
4			
...			

For sovereign bonds

No	Name of the sovereign issuer	Market Membership (Art. 17(1))
1		
2		



4	
...	

For sovereign CDS

No	Name of the sovereign issuer	Market Membership (Art. 17(1))
1		
2		
3		
4		
...		

For instruments other than shares, sovereign debt instruments or sovereign CDS that create short or long position

No	Category (part C, annex I of directive 2004/39/EU)	Underlying financial instrument
1		
2		
3		
4		
...		