

Nominated advisers

Key executive's application form – NAI2

Nominated adviser Key executives application form – NAI2

This form is to be completed when:

- the NAI1 form is submitted by a nominated adviser applicant. The applicant shall submit a NAI2 form for each of its “key executives” as defined in the AIM Italia Rules for Nominated Advisers (the “Nomad Rules”) as published by Borsa Italiana from time to time; or
- a senior employee is to be registered by a nominated adviser as a key executive.

All information provided in respect of any of the above individuals will be kept confidential by Borsa Italiana, except to the extent that disclosure of any or all of the information is necessary for Borsa Italiana to carry out its regulatory functions, or is otherwise required by law.

If you would like to discuss an executive application or the Nomad Rules in more detail, please contact Borsa Italiana

1. Name of nominated adviser (or nominated adviser applicant):

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2. Key executive staff member’s full name and contacts:

Title:	First name(s):	
Surname:		Date of birth:
Mobile phone:	Fixed phone:	E-mail:

3. Qualifications:

Provide details of any professional or business qualifications and/or memberships of any professional bodies, exchanges or trade associations obtained or applied for*.

4. Regulatory:

Have you been registered as a corporate finance or financial services practitioner by any regulating organisation(s) or recognised professional bodies
If yes, please provide detailed information on such registration(s).*

Yes	No
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*Continue answers on a separate sheet where necessary

5. Employment History

Provide details of your employment history (last 10 years, most recent first)*:

Dates from/to:	Name and address of organisation:	Position held and description of responsibilities:

6. Transaction History

Describe completed "relevant transactions" (as set out in the Nomad Rules) including full details of the role undertaken in relation to the transaction. Copies of public documents evidencing the relevant transactions may be required by Borsa Italiana. If this includes equivalent experience gained whilst working for a previous employer, this fact must be indicated and a letter from the employer may be required confirming that you provided lead corporate finance advice on the relevant transactions.*

Description of Transaction:	Details of work undertaken by applicant:	Date of Transaction:

7. Privacy

The key executive declares that it has viewed the information document provided on Borsa Italiana's website pursuant to Art. 13 of the Legislative Decree no. 196 of 30 June 2003 and for the purposes stated therein:

grants its consent does not grant its consent

- to the processing of my personal data by the LSE Group, for the purposes mentioned in point 1, letter c) .
- to communicate my personal data to third parties mentioned in point 2, letter c), only for purposes strictly connected to the informative document
- to the transfer abroad of my personal data, also outside EU, for the same processing purposes stated in point 1, letter c) above, either by or without electronic means or alternatively automated.

8. Declaration of key executive applicant

I declare that I have not been subject to any disciplinary action by a regulator or law enforcement agency in the context of financial services or corporate finance and save as set out in this application, I have not been disqualified by a court from acting as a director of any company or from acting in the management or conduct of its affairs and have no unspent convictions in relation to indictable offences. I declare that the information supplied is complete, true, accurate and not misleading.

Signature:	Date:
Name of signatory in block capitals:	

9. Declaration of nominated adviser (or nominated adviser applicant):

I declare that the applicant is employed on a full time basis by the nominated adviser (or nominated adviser applicant) named overleaf and that (in relation to the transactions cited in Section 6 above which were carried out whilst employed by this nominated adviser (or nominated adviser applicant)) the applicant provided the corporate finance advice

Signature:	Date:
Name of signatory authorised for and on behalf of the key executive's employer:	

**Continue answers on a separate sheet where necessary*

Please return this form to:

BORSA ITALIANA S.p.A , Piazza degli Affari, 6 - 20123 Milano