



## APPLICATION FORM FOR LISTING UCITS UNITS (Form 9/SVP)

**Applicant** \_\_\_\_\_

**Date filed** \_\_\_\_\_

**Date received** \_\_\_\_\_

(completed by Exchange)

### 1. UCITS

1.1. Name of UCITS \_\_\_\_\_

1.2. Type (equity, bond, balanced, etc) \_\_\_\_\_

1.equity 2.bond 3.balanced 4.other \_\_\_\_\_

1.3. Incorporated on: \_\_\_\_\_

1.4. No. of shareholders (on date) \_\_\_\_\_

1.5. No. of fund shares (on date) \_\_\_\_\_

1.6. NAV per unit (on date) \_\_\_\_\_

1.7. One unit is worded on \_\_\_\_\_

\_\_\_\_\_ (number) of fund net asset units

1.8. Entry into register of dematerialised sec. \_\_\_\_\_

(date)

1.9. Issuer home state \_\_\_\_\_

for issuers from third countries give the inv. firm authorized for the listing procedure

1.10. Issuer LEI Code \_\_\_\_\_

1.11. Issuer activity \_\_\_\_\_

1.12. Reference price on first trading day \_\_\_\_\_

### 2. Fund Management Company (DZU)

2.1. DZU firm \_\_\_\_\_

2.2. DZU registered office \_\_\_\_\_

2.3. DZU address \_\_\_\_\_

2.4. DZU ID no. \_\_\_\_\_

### 3. Custodian

3.1. Custodian firm \_\_\_\_\_

3.2. Custodian registered office \_\_\_\_\_

### 4. Liquidity provider (LP) (complete if applicable)

4.1. LP firm \_\_\_\_\_

4.2. LP registered office \_\_\_\_\_

### 5. Selected officially appointed mechanism

(OAM) \_\_\_\_\_

### 6. Manner of publishing information

(which medium) \_\_\_\_\_

### 7. Prospectus published (date and venue)

### 8. Contact info

a) Issuer's contact person \_\_\_\_\_



b) Telephone no. \_\_\_\_\_

c) E-mail address \_\_\_\_\_

**9. Listing on the stock exchange market – Conditions, and requisite attachments to Application**

- certificate stating that the securities have been validly issued (in dematerialized form and have been entered into the central registry) and that the conditions for reliable settlement of trades in these securities are met;
- regulator’s decision on having issued the authorization for rendering investment fund management services;
- DZU articles of association, consolidated version;
- regulator’s decision on having issued the licence to manage the open-end fund, the shares of which are subject of this Application;
- regulator’s decision authorising the prospectus;
- prospectus (drawn up in accordance with the Investment Funds and Management Companies Act – ZISDU), in electronic form, as authorised by an authoritative body;
- Rules of Management of UCITS, and the regulator’s approval of the Rules;
- evidence of payment of the fee for deciding on listing (payment is to be carried out in accordance with the Exchange Fee Schedule in force from time to time, to account number SI56 0400 0027 7757 404 held by OTP banka d.d.);
- audited annual report and latest semi-annual report of UCITS, if existent;
- DZU audited annual report, if existent.

The applicant hereby states that all the securities subject to the application for listing on the stock exchange market are freely transferable.

The applicant hereby binds to pay the listing fee, as invoiced by the Exchange.

\_\_\_\_\_  
(Legally binding signature and issuer’s seal)

**Note:** In accordance with Articles 187 and 190 of the Rules, the Application Form for Listing UCITS units constitutes only a part of the full application on the basis of which the Exchange may adopt the decision to list UCITS units. The full application includes the completed and duly signed Application Form for Listing UCITS units and the Listing Agreement signed by the applicant. The Listing Agreement is available at the Exchange.