

Application Form for third-country investment firms and credit institutions when applying for a license or a renewal of a license pursuant Section 41 of the Danish Act on Investment Firms and Investment Services and Activities and Section 33 of the Danish Financial Business Act

This form is to be used by third-country investment firms and credit institutions that apply for a license or the renewal of a license to provide investment services and activities with or without ancillary services on a cross-border basis without establishing a branch in Denmark, cf. Section 41 of the Danish Act on Investment Firms and Investment Services and Activities and Section 33 of the Danish Financial Business Act (Danish third-country cross-border license).

The form may also be used by holders of a Danish third-country cross-border license to give notice of changes of information previously provided to the Danish Financial Supervisory Authority and to request the withdrawal of a Danish third country cross-border license.

Please choose one of the options below

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| Application for a Danish third-country cross-border license (Please fill out the fields no 1 to no 4 and 7 below and provide the documents listed in the field no 5) | |
| Application for a renewal a Danish third-country cross-border license (Please fill out the fields no 1 to no 4 and 7 below and provide the documents listed in the field no 5) | |
| Update of information regarding a Danish third-country cross-border license (Please identify the License Holder and fill out the relevant fields below with the updated information and provide, if necessary, the relevant documents. If changes to the investment service, activities, ancillary services or financial instruments, please list all the investment services, activities, ancillary services or financial instruments the License Holder will provide or carry out after the update.) | |
| Withdrawal request (please identify the license holder and fill out field no. 6 and 7) | |

1. Identification of the Applicant and contact information

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| Legal name of Applicant | |
| Third country in which the Applicant is established, licensed and supervised | |
| Registration number of the Applicant in the third country Name of the register | |
| Address of the Applicant in the third country from which documents may be obtained | |

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| If renewal, please state J.no. from previous authorization letter | |
| Legal Entity Identifier (LEI-code) of the Applicant | |
| Is the Applicant already providing other financial services then investment services and activities in Denmark? | <input type="checkbox"/> Yes. Please indicate below which ones and information on the services. <input type="checkbox"/> No. |
| Telephone number | |
| E-mail address | |
| Website address | |
| Name, title, division, e-mail address, phone number of the contact person(s) for the purpose of this application | |
| If update of information, please state the updated information | |
| If renewal, date on which previous license was granted | |

2. The Applicant's license in the third country

2.1.1. Authorisation status

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| Investment firm | |
| Credit institution | |

2.1.2. Name of the Applicant's license

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2.1.3. Name of the prudential and conduct authority/authorities in charge of the supervision of the Applicant. If more than one authority is in charge of the supervision, please explain how those authorities share the responsibilities for the supervision.

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2.1.4. Reference or hyperlink to the Applicant's registration with its authority/authorities

2.1.5. Description of the investment services and activities and ancillary services as well as financial instruments for which the Applicant is licensed at the third country, so that it can be ascertained that the Applicant is already authorised in the third country for the services and activities that the Applicant plans to provide and carry out in Denmark.

2.1.6. Agreements concerning consultation and cooperation and the exchange of information relevant for the supervision of undertakings performing investment services and activities between the Danish Financial Supervisory Authority and the applicant's home supervisory authority/authorities.

Please indicate whether there is such consultation and cooperation agreements or not and if so the name of the agreements:

Yes. Please indicate the name of the agreement.

No.

3. Information on the legal framework applicable to the Applicant at the Applicant's home third country

The Summary of the anti-money laundering and fight against terrorism (AML-CFT) rules applicable for the Applicant in the third country in relation to the provision of services and the activities in Denmark.

4. Information on the Applicant's business plans in Denmark

4.1. Description of the Applicant's intended business strategy and main objectives for the Danish market including an estimate of the expected volume of business in Denmark.

4.2. List of the investment services and activities as well as ancillary services that the Applicant intends to provide or carry out in Denmark. Furthermore, list of involved financial instruments. Please refer to Sections A and B of Annex I to Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (recast), when referring to the financial instruments provided for in Section C of Annex I of that Directive.

| Financial instruments | Investment services and activities | | | | | | | | | Ancillary services | | | | | | |
|-----------------------|------------------------------------|----|----|----|----|----|----|----|----|--------------------|----|----|----|----|----|----|
| | A1 | A2 | A3 | A4 | A5 | A6 | A7 | A8 | A9 | B1 | B2 | B3 | B4 | B5 | B6 | B7 |
| C1 | | | | | | | | | | | | | | | | |
| C2 | | | | | | | | | | | | | | | | |
| C3 | | | | | | | | | | | | | | | | |

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|-----|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| C4 | | | | | | | | | | | | | | | | | |
| C5 | | | | | | | | | | | | | | | | | |
| C6 | | | | | | | | | | | | | | | | | |
| C7 | | | | | | | | | | | | | | | | | |
| C8 | | | | | | | | | | | | | | | | | |
| C9 | | | | | | | | | | | | | | | | | |
| C10 | | | | | | | | | | | | | | | | | |
| C11 | | | | | | | | | | | | | | | | | |

Note: Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (recast). That is, A1 refers to point 1 of Section A of Annex I. For example, if the Applicant plans to provide service A1 in relation to financial instruments C1, check cell A1/C1.

4.3. Date on which the Applicant/License Holder intends to commence the applied for services and activities in Denmark.

4.4. Confirmation that the Applicant will not provide or carry out the applied for services and activities with the applied for financial instruments to clients other than eligible counterparties and 'per se' professional clients in Denmark, cf. article 30(2) and Annex II, section I, to Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (recast).

5. Information and documentation to be provided by the Applicant

Please enclose copy of the license or any other official document confirming the activities and services as well as financial instruments that the Applicant is authorised to carry out and provide in the Applicant's third country.

6. Withdrawal request

Confirmation that the Applicant requests for a withdrawal of its Danish third-country cross-border license.

7. Sworn statement and Signature

The undersigned declares to have the power of attorney to file this application on behalf of the Applicant.

The undersigned understands the Danish Financial Supervisory Authority may require the Applicant to provide further information and/or documentations at any time after the submission of the application including after the granting of a third country cross-border license.

Furthermore, the undersigned solemnly declares the information provided is accurate and complete and will inform the Danish Financial Authority if any material changes occur to the provided information in this application form.

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| Name of authorised signatory of the Applicant | |
| Signature | |
| Date/place: | |