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| **APPLICATION FORM** **ESMA Securities and Markets Stakeholder Group 2013**  |

Dear Sir/Madam,

You will find enclosed the application of [**Surname, Forename**] in response to the Call for Expression of Interest regarding membership in the Securities and Markets Stakeholder Group of the European Securities and Markets Authority.

This application file includes the following documents (please select the corresponding box where appropriate):

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| Detailed curriculum vitae (**CV**) of the person replying to the Call for Expression of Interest. The detailed CV should specify the different diplomas obtained (copies of which may be requested by ESMA) and the expertise and experience relevant to the subject of the present Call for Expression of Interest.  | [ ]  yes | [ ]  no |
| **Application form** signed on all pages. If the form is submitted electronically (via email), the applicant will be deemed to have formally signed and accepted the application and conditions by typing in his name.  | [ ]  yes  | [ ] no |
| Letter of motivation  | [ ]  yes  | [ ]  no |

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| **SECTION 1 – IDENTIFICATION** |

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| **Surname, Forename** | Please insert |
| **Nationality** | Please insert |
| **Address** | Please insert  |
| **Contact Details** | Telephone: | Please insert |
| E-mail address: | Please insert |
| Facsimile: | Please insert |

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| Type of membership sought | Please select ***one*** category to which you seek to be considered: |
| **Representatives of financial market participants**  | [ ]  | Includes individual representatives and representatives of associations currently employed by or acting on behalf of Union financial market participants, representing the diverse models and sizes of financial institutions and businesses, including, as appropriate, financial services’ intermediaries; market infrastructure providers (i.e. Regulated Markets, MTFs, CCPs, CSDs and trade repositories); issuers (potentially some of which may be SMEs); institutional investors (i.e. Insurance, pension funds, asset management firms); representatives of shareholders; users and distributors of financial information (i.e. Auditors, Accountants, Information providers, Rating agencies, Analysts); alternative investment fund managers. |
| **Employees’ representatives** | [ ]  | Includes associations, bodies, individuals, or others which represent the interest of employees and trade unions, which may be paid by their employer. |
| **Consumers**  | [ ]  | Representatives of consumers and individual consumers - includes representatives of consumer organisations or any natural person acting in a consumer capacity with proven record in protection of consumers’ interests |
| **Users of financial services** | [ ]  | Users of financial services –includes individuals and/or individuals or associations delivering services and advice to retail users or businesses  |
| **Representatives of SMEs** | [ ]  | Includes individuals employed by an SME relevant to the securities and financial markets field, or representatives of their organisations. |
| **Independent top-ranking academics**  | [ ]  | Includes individuals preferably hold a Ph.D. in finance, economics, law or other field relevant to securities markets, or equivalent qualifications and a solid academic experience in a university or institute of higher education (e.g. professorship), have a strong publication record in the field of finance, economics, law and more specific focus on securities markets and participation in international conferences and workshops. |
| Please enter explanation of the choice and contact details of the organisation you represent:  Please note that you can tick ***only one box of category*** above.  |

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| **SECTION 2 – MANDATORY CRITERIA** |

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| **Criterion 1****(mandatory)** | a) Minimum 4 years of relevant professional experience in the financial services sector shall be required for those representing financial institutions. | [ ]  yes  | [ ]  no |
| b) For other representatives, such as SMEs and consumers, employees’ representatives as well as academics, a minimum of 4 years of experience relevant to the financial services field shall be required. | [ ]  yes  | [ ]  no |
| **Criterion 2****(mandatory)** | Availability to participate in meetings at least 4 times a year and commitment to carry out significant work between meetings to prepare the output of the Group (opinions, position papers, reports etc.). | [ ]  yes  | [ ]  no |
| **Criterion 3****(mandatory)** | Sufficient English written and oral communication skills to enable the candidate to actively participate in the work of the Group. | [ ]  yes  | [ ]  no |

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| **SECTION 3 – CONFLICTS OF INTEREST and EXCLUSION CRITERIA** **(declaration)** |

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| **Recipient:**  | European Securities and Markets Authority (ESMA)  |
| **Statement:** | *Please insert here your statement with regard to any known, potential conflicts of interest between your current professional engagements, including explicit mention to memberships to Boards or Board Committees or other relevant function, and the position of member in the ESMA Securities and Markets Stakeholder Group.* *Your statement:* Please insert*If above is not applicable, please provide a clear statement as to having no known conflict of interests.* I [insert Surname, Forename] hereby certify that, to the best of my knowledge and belief, [insert text] |
| **QUESTIONS RELATING TO EXCLUSION** **(declaration)** |
| By signing this form, the candidate certifies that he/she does not find himself/herself in any of the following situations: |
| 1. The candidate has been convicted of an offence concerning his professional conduct by a judgment which has the force of res judicata.
 | [ ]  yes  | [ ]  no |
| 1. The candidate has been guilty of grave professional misconduct.
 | [ ]  yes | [ ]  no |
| 1. The candidate has been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests.
 | [ ]  yes | [ ]  no |

Applicants who are initially not selected to become members of the Group could remain on a list of experts, with the possibility to be invited to become a member of the Group at a later stage during the term of the Group, were a vacancy on the Group to arise.

I consent to revisit my application for future vacancies in the Group: [ ]  yes [ ]  no

I also confirm that I will abide by strict confidentiality requirements and will not reveal any non-public papers shared with the Group or their contents.

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| (Date and Signature of applicant expert[[1]](#footnote-1)) |  |
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1. If sent electronically, please type in the name and this will be considered as a formal acceptance/signature by the applicant [↑](#footnote-ref-1)