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| **APPLICATION FORM**  **Consultative Working Group for ESMA’s Secondary Markets Working Group** |

Dear Madam, Dear Sir,

Please find enclosed the application of [**name of applicant**] in response to the joint call for expressions of interest (Ref: ESMA74-1505669078-6421) to become a member of the Consultative Working Group (CWG) for ESMA’s Secondary Markets Working Group (SMWG).

This application includes the following documents (please underline the relevant answer):

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| Detailed curriculum vitae (CV) of the person replying to the call for expressions of interest. The detailed CV should specify the different diplomas obtained (copies of which may be requested by ESMA), the expertise and experience relevant to the call for expressions of interest | **YES** | **NO** |
| The completed application form | **YES** | **NO** |

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| **SECTION 1 – IDENTIFICATION** | | | | |
| NAME | |  | | |
| CONTACT ADDRESS | |  | | |
| CONTACT DETAILS | | Telephone: |  | |
| E-mail address: |  | |
| NATIONALITY | | Applicant |  | |
| Of firm/organisation (if applicable): |  | |
| CURRENT POSITION HELD | |  | | |
| **SECTION 2 – CRITERIA** | | | | |
| CATEGORY[[1]](#footnote-1) | Financial services intermediary | | | **[ ]** |
| Market infrastructure provider (including trading venues, CCPs and connectivity providers) | | | **[ ]** |
| Issuer | | | **[ ]** |
| Proprietary trader, including algo/HFT trader | | | **[ ]** |
| Institutional investor | | | **[ ]** |
| Data reporting service provider | | | **[ ]** |
| Representative of consumer associations or non-governmental organisations, retail investor associations  or  Academic focussing on secondary markets | | | **[ ]** |
| AREA(S) OF EXPERTISE | Please specify: | | | |
| BACKGROUND | Please specify: | | | |
| MEMBERSHIP OF OTHER GROUPS | *Please list here any other stakeholder or consultation groups to which you belong, either at ESMA or in other organisations.* | | | |
| **SECTION 3 – STATEMENT ON CODE OF CONDUCT**  **(DECLARATION]** | | | | | |
| I commit to attend all meetings of the Consultative Working Group for ESMA’s Secondary Markets Working Group (SMWG) and to participate fully.  I acknowledge that I am appointed and participate in my personal capacity and will provide expertise and not advocacy for specific national institutional or sectoral positions nor on behalf of my employer.  I commit to make clear in my professional engagements that I am not a representative of ESMA.  I commit to abide by the strict confidentiality requirements as detailed in the call for expression of interest (Ref: ESMA74-1505669078-6421) and will not reveal any non-public papers, or their contents, shared with the Consultative Working Group for ESMA’s Secondary Markets Working Group (SMWG).  I acknowledge that failure to abide by this code of conduct will result in my removal from the Consultative Working Group for ESMA’s Secondary Markets Working Group (SMWG). | | | | | |
| **SECTION 4 – STATEMENT ON DATA PROTECTION** | | | | | |
| *Any personal data identified in the information affected by this procedure shall be handled in compliance with the requirements laid down in Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement.*  I acknowledge that part of the data provided by the selected members of the CWGs is published on ESMA’s website; this includes their names, organisations and functions within their respective organisations. I hereby give my express consent to such a publication.  I acknowledge that my application will be kept on file for record keeping purposes and also for the purposes of maintaining a reserve list of CWG candidates.  I further acknowledge that the aforementioned data and any e-mail address that I provide may also be shared with other members of the CWG, members of the Secondary Markets Working Group (SMWG) as well as ESMA staff. This may be done, in particular, where my e-mail address is included in any CWG mailing list and/or my name, organisation and function within the organisation is mentioned in documents such as the list of participants attached to any summary of conclusions of the meetings of the CWG.  I hereby give my express consent to the aforementioned treatment of my relevant personal data.  Further information relevant to the processing of my personal data is available in the record for selection of members for ESMA groups published on the ESMA register of records[[2]](#footnote-2). | | | | | |

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Name (Title / First name / Surname)

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Date (dd/mm/yyyy)

1. Please indicate your category by checking the relevant category. You may indicate more than one category. In such case, please also underline your primary category. [↑](#footnote-ref-1)
2. [Data Record for the selection of members for ESMA groups available at www.europa.eu](https://www.esma.europa.eu/sites/default/files/selection_of_members_for_esma_groups.pdf) [↑](#footnote-ref-2)