

This form is to be completed when

- the ASM Advisor's Application Form is submitted by an ASM Advisor Applicant. The Applicant shall submit an Executive's Application Form for each of its "qualified executives" as defined in the Rules for ASM Advisors as published by the Irish Stock Exchange from time to time.
- an executive staff member who has not previously been involved in ASM Advisor activities joins an existing ASM Advisor; or
- an executive staff member is to be registered by an ASM Advisor as a qualified executive.

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

If you would like to discuss an executive application or the Rules for ASM Advisors in more detail, please contact the Regulation Department of the ISE on +353 1 617 4200.

ASM Advisor Executive Application

1 Name of ASM Advisor (or ASM Advisor Applicant)	
2 Executive staff member's full name	
Title	
First name(s)	
Surname	
Date of birth	
3 Private address	
4 Qualifications	
Provide details of any professional or business qualifications and/or memberships of any professional bodies, exchanges or trade associations obtained or applied for.	
5 Regulatory	
Have you been registered as a corporate finance or financial services practitioner by any regulating organisation(s) or recognised professional bodies? Please provide written evidence of such registration(s) or alternatively a brief explanation why no such registration is available or applicable in the relevant jurisdiction. (In Ireland, please state whether you have passed, been grandfathered into, exempted or received a waiver from the SFA Corporate Finance Representative Exam.)	

6 Employment history

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

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

7 Transaction history

Describe completed "relevant transactions" (as more fully defined in the Rules for ASM Advisors). Copies of public documents evidencing the relevant transactions should be included with the application. (If this includes equivalent experience gained whilst working for a previous employer, this fact must be indicated and a letter from the employer will be required confirming that you provided corporate finance advice on the relevant transactions).*

Transaction	Experience	Date

8 Declaration of 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 Signature of ASM Advisor (or ASM Advisor Applicant)

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

*Continue answers on a separate sheet where necessary