



Application Form to display on the Luxembourg Green Exchange (LGX) – Investment funds

Legal entity filing the Application Form

(the “**Applicant**”) *(please insert the name of the applicant):*

With registered office at:

Acting in the capacity as Applicant of (e.g management company, promoter, asset manager...):

For (the “**Fund(s)**”) *(please insert the name of the funds or sub-funds):*

With registered office at:

This application concerns the following share classes with ISINs: (the “**Share Class(es)**”)

By means of this Application Form, the Applicant hereby applies, on behalf of the Fund(s), for admission to the Securities Official List (“**SOL**”) of the Luxembourg Stock Exchange (“**LuxSE**”) and for display on the Luxembourg Green Exchange platform (“**LGX platform**”).

The Applicant hereby represents that it has full power and authority to sign the present Application Form for and/or on behalf of the Fund(s).

Object of the application

The present application is made both: for admission to SOL without admission to trading and for display on the LGX platform. No Fund(s) or Share Class(es) will appear on LGX if it has not been admitted to SOL. Should the Fund(s) or any Share Class(es) no longer comply with the requirements applicable for display on LGX, for any reason, LuxSE shall remove the Fund(s) or any Share Class(es) from LGX. Removal from LGX will not automatically lead to the withdrawal of the Fund(s) or Share Class(es) from SOL.

PART I. Display on LGX

1. Applicant Fund(s) Investment Policy and Strategy

The Applicant declares that the Fund(s) shall be categorised within one of the following three classifications¹:

ESG

Green

Social

The Applicant confirms that the following investment strategies are used in managing the Fund(s) portfolio (multiple options possible):

Norms-based screening

Engagement and voting

Exclusions

Impact investing

Best-in-class

Sustainability-themed

ESG integration

The Applicant confirms that the Fund(s) has been awarded the following fund label(s):

LuxFLAG

FNG

ISR

ESG

0 star

TEEC

Climate Finance

1 star

Nordic Swan

Environment

2 stars

**Österreichisches
Umweltzeichen**

Microfinance

3 stars

Febelfin

Other

Note: Please, expect a due diligence to be conducted by LGX on the above mentioned label

The most recent date on which the label(s) was (were) awarded:

The Applicant is a signatory to the Eurosif Transparency Code:

Yes

No

The Applicant is a signatory to the UN PRI:

Yes

No

¹ Choose one option only

If the Applicant would like to display an external rating of the Fund(s) or awards on the LGX platform, the relevant rating(s) or awards can be specified below:

Here below, the Applicant provides the link to the Fund(s) webpage for display on the LGX platform:

The Applicant may provide further information or comments below:

2. Description of Investment Policy and Strategy

2.1 Description of the Fund(s) **investment policy and objectives** (relevant supporting documents to be provided with the Application Form) - This text will be published on the LGX platform:

2.2 Description of the Fund(s) **investment strategy** (relevant supporting documents to be provided with the Application Form) - This text will be published on the LGX platform:

2.3 If the Fund(s) has "impact investing" as an investment strategy, describe here the **impact objectives** and how they will be met (relevant supporting documents to be provided with the Application Form) - This text will be published on the LGX platform:

2.4 Description of the Fund(s) **exclusions policy** (relevant supporting documents to be provided with the Application Form) - This text will be published on the LGX platform:

2.5 Description of the Fund(s) **engagement and voting policy** (relevant supporting documents to be provided with the Application Form) - This text will be published on the LGX platform:

LuxSE reserves the right to request any additional information related to the above characteristics in the event such description is not clear, satisfactory or complete in LuxSE's opinion. The provided documents will be uploaded and publicly available on the LGX platform. The Applicant can also provide additional relevant supporting documents to be uploaded on the LGX platform.

The Applicant confirms granting the LGX team with access to the [Fundsquare](#) database and document repository and to publish such up-to-date information as may be currently available and required to be published on the LGX platform.

3. Ongoing reporting

The Applicant undertakes to provide responsible investing reporting. Accepted forms include fund sustainability performance report or similar document which includes the Fund's portfolio and quantitative and/or qualitative commentary at least annually. With regard to impact investing funds, the Applicant undertakes to provide impact reporting aligned with the investment strategy referred to above.

The first mandatory report shall be supplied within 12 months after the Fund(s) has been displayed on LGX or such other date as may be agreed with LuxSE. In case the Applicant wishes to provide the mentioned reporting in line with other annual reporting the approximate publication time should be specified here:

4. Declarations

The Applicant acknowledges that the display of the Share Class(es) on the LGX platform is subject to LuxSE's prior approval. LuxSE cannot guarantee that any application will be successful and that the Fund will be accepted for display on the LGX platform in all cases.

The Applicant represents and warrants that it will comply with all representations made in this declaration and with all requirements set out herein during the whole duration of the display of the Share Class(es) on the LGX platform.

PART II. Registration on the Luxembourg Stock Exchange Securities Official List (SOL)

The Applicant represents and warrants that, for as long as any Share Class(es) remain outstanding and admitted to LuxSE Securities Official List (SOL):

- 1) It will comply with all rules and requirements as set out in the [Rulebook – LuxSE Securities Official List](#);
- 2) The Fund(s) will maintain a legal position and structure which is compliant with applicable legislation and regulations relating both to its constitution and its operation under its articles of association and/or prospectus;
- 3) It will or will procure to maintain the Share Class(es)' legal position compliant with the relevant applicable legislation and regulations;
- 4) It will ensure or will procure that the administration of securities events and the payments of coupons and dividends is properly provided;
- 5) It will procure that the Fund(s) apply equal treatment to the holders of the same Share Class(es) concerning all the rights attached to these share classes;
- 6) It will communicate as early as possible to LuxSE any information relating to events affecting the Fund(s) and/or the Share Class(es) or any information that it deems necessary to facilitate the due and proper operation of LuxSE SOL;
- 7) It will communicate to LuxSE, at the latest at the moment of making it public and filing it, all information concerning the Fund(s) and/or the Share Class(es) that the Fund(s) has to make public.

PART III. General provisions

By ticking this box, the Applicant authorises LuxSE to use and reproduce its name and logo (collectively the "Trademarks") solely on the LGX platform and/or on brochures related to LGX and/or other relevant marketing materials (e.g. social media, press releases), in a positive and illustrative manner, for the purposes of client reference. The Trademarks will remain, in all cases, the Applicant's sole and exclusive property. The Applicant acknowledges that it may request LuxSE, at any time, to delete or remove the Trademarks from whole or part of LuxSE's website, brochures or other marketing materials.

The present declaration shall enter into force as of its date of signature. It shall remain in force until:

- » The Share Class(es) are liquidated, closed, or inactive, or
- » The Share Class(es) are delisted from LuxSE's markets or LuxSE's SOL for any reason, or
- » LuxSE makes the decision to withdraw the Share Class(es) from the LGX platform, on a temporary or permanent basis, for any grounds that LuxSE may deem, in its reasonable opinion, adequate or appropriate.

The present declaration is governed by Luxembourg laws.

PART IV. Fees

Name of the legal entities assuming the payment of the listing and maintenance fees

Name of the entity:

Department:

Contact person:

Address:

Postcode / City:

State / Country:

E-mail address:

Phone number:

Fax number:

VAT number:

The fees shall be paid by bank transfer.

Admission to be effective on

Signatures

Made in: _____ on _____

Name of the Applicant:

Contact person with regard to listing matters:

Position:

Phone number:

Email address:

Contact person with regard to sustainability matters:

Position:

Phone number:

Email address:

Signatures:

PART V. Communication

Please submit this signed application form and relevant supporting documents to bolide@bourse.lu.

Appendix

List of documents to provide upon application:

- **Mandatory documents**
 - » Application Form
 - » Prospectus
 - » Articles of incorporation
 - » Key Investor Information Document (KIID) (for retail funds)
 - » Latest annual report
 - » Proof of label accreditation

- **Additional documents, for transparency purposes, if available²**
 - » Detailed investment strategy
 - » Detailed investment policy
 - » Exclusions policy
 - » Fund factsheet
 - » Transparency code information
 - » Engagement and voting policy

List of documents to provide on an ongoing basis

- **Mandatory documents**
 - » Responsible investing reporting
 - » Proof of label accreditation renewal

² Non-exhaustive list