‘*ANNEX I*

# Form for the submission of a branch passport notification or a change in a branch particulars notification

Where credit institutions notify changes in branch particular notifications to competent authorities of home and host Member States, credit institutions shall only complete the parts of the form which contain information that has changed.

# Contact information

|  |  |
| --- | --- |
| Type of notification | [ ]  Initial branch passport notification[ ]  Notification of change in branch particulars notification |
| Host Member State in which the branch is to be established: | Klicka eller tryck här för att ange text. |
| Name and national reference code of the credit institution as available in the credit institution register maintained by the European Banking Authority (EBA): | Klicka eller tryck här för att ange text. |
| LEI of the credit institution: | Klicka eller tryck här för att ange text. |
| Address of the credit institution in the host Member State from which documents may be obtained: | Klicka eller tryck här för att ange text. |
| Intended principal place of business of the branch in the host Member State: | Klicka eller tryck här för att ange text. |
| Date on which the branch intends to commence its activities: | Klicka eller tryck här för att ange text. |
| Name of contact person at the branch: | Klicka eller tryck här för att ange text. |
| Telephone number: | Klicka eller tryck här för att ange text. |
| Email: | Klicka eller tryck här för att ange text. |

1. **Programme of operations**
	1. *Types of business envisaged*
		1. Description of the main objectives and business strategy of the branch and an explanation of how the branch will contribute to the strategy of the institution and, where applicable, of its group

Klicka eller tryck här för att ange text.

* + 1. Description of the target customers and counterparties

Klicka eller tryck här för att ange text.

* + 1. List of the activities referred to in Annex I to Directive 2013/36/EU that the credit institution intends to carry out in the host Member State with the indication of the activities that will constitute the core business in the host Member State, including the intended start date for each activity (as accurate as possible).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Activity | Activities that the credit institution intends to start carrying out (fill in with ‘S’)/or to cease carrying out (fill in with ‘C’) | Activities that will constitute the core business | Intended start or cease date for each activity |
| 1. | Taking deposits and other repayable funds | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 2. | Lending including, *inter alia*: consumer credit, credit agreements relating to immovable property, factoring, with or without recourse, financing of commercial transactions (including forfeiting) | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 3. | Financial leasing | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4. | Payment services as defined in Article 4, point (3) of Directive (EU) 2015/2366 of the European Parliament and of the Council [(1)](#_bookmark3) | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4a. | Services enabling cash to be placed on a payment account and all the operations required for operating a payment account | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4b. | Services enabling cash withdrawals from a payment account and all the operations required for operating a payment account | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4c. | Execution of payment transactions, including transfers of funds on a payment account with the user’s payment service provider or with another payment service provider:* execution of direct debits, including one- off direct debits
* execution of payment transactions through a payment card or a similar device
* execution of credit transfers, including standing orders
 | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4d. [\*](#_bookmark4) | Execution of payment transactions where the funds are covered by a credit line for a payment service user:— execution of direct debits, including one- off direct debits | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | * execution of payment transactions through a payment card or a similar device
* execution of credit transfers, including standing orders
 |  |  |  |
| 4e. [\*\*](#_bookmark5) | * Issuing of payment instruments
* Acquiring of payment transactions
 | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4f. | Money remittance | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4g. | Payment initiation services | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 4h. | Account information services | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 5. | Issuing and administering other means of payment (e.g. travellers’ cheques and bankers’ drafts) insofar as such activity is not covered by point 4. | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 6. | Guarantees and commitments | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7. | Trading for own account or for account of customers in any of the following: | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7a. | — Money market instruments (e.g. che­ ques, bills, certificates of deposits) | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7b. | — Foreign exchange | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7c. | — Financial futures and options | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7d. | — Exchange and interest-rate instru­ ments | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 7e. | — Transferable securities | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 8. | Participation in securities issues and the provision of services related to such issues | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 9. | Advice to undertakings on capital structure, industrial strategy, and related questions and advice as well as services relating to mergers and the purchase of undertakings | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 10. | Money broking | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 11. | Portfolio management and advice | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 12. | Safekeeping and administration of securities | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 13. | Credit reference services | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 14. | Safe custody services | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |
| 15. | Issuing electronic money | Klicka eller tryck här för att ange text. |  [ ]  | Klicka eller tryck här för att ange datum. |

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| [(1)](#_bookmark0) Directive (EU) 2015/2366 of the European Parliament and of the Council of 25 November 2015 on payment services in the internal market (OJ L 337, 23.12.2015, p. 35). |
| * Does the activity referred to in point 4d include the granting of credits in accordance with Article 18(4) of Directive (EU) 2015/2366?

[ ]  yes [ ]  no |
| [\*\*](#_bookmark2) Does the activity referred to in point 4e include the granting of credit in accordance with Article 18(4) of Directive (EU) 2015/2366?[ ]  yes [ ]  no |

* + 1. List of the services and activities that the credit institution intends to carry out in the host Member State, and which are provided for in Sections A and B of Annex I to Directive 2014/65/EU of the European Parliament and of the Council [(1)](#_bookmark7), 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 |
|  | A 1 | A 2 | A 3 | A 4 | A 5 | A 6 | A 7 | A 8 | A9 | B 1 | B 2 | B 3 | B 4 | B 5 | B 6 | B 7 |
| C1 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C2 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C3 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C4 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C5 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C6 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C7 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C8 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C9 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C10 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| C11 |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

*Note 1:*

Row and column headings are references to the relevant section and item numbers in Annex I to Directive 2014/65/EU (e.g. A1 refers to point 1 of Section A of Annex I)

* 1. *Structural organisation of the branch*
		1. Description of the organisational structure of the branch, including functional and legal reporting lines and the position and role of the branch within the corporate structure of the institution and, where applicable, of its group (*The description can be supported by relevant documents, such as an organisational chart)*

Klicka eller tryck här för att ange text.

[(1)](#_bookmark6) 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 (OJ L 173, 12.6.2014, p. 349).

* + 1. Description of the governance arrangements and internal control mechanisms of the branch, including the following information:
			1. Risk management procedures of the branch and details of liquidity risk management of the institution, and where applicable, of its group

Klicka eller tryck här för att ange text.

* + - 1. Any limits that apply to the activities of the branch, in particular to its lending activities

Klicka eller tryck här för att ange text.

* + - 1. Details of the internal audit arrangements of the branch, including details of the person responsible for these arrangements and, where applicable, details of the external auditor

Klicka eller tryck här för att ange text.

* + - 1. Anti-money laundering arrangements of the branch including details of the person appointed to ensure compliance with these arrangements

Klicka eller tryck här för att ange text.

* + - 1. Controls over outsourcing and other arrangements with third parties in connection with the activities carried out in the branch that are covered by the institution’s authorisation

Klicka eller tryck här för att ange text.

* + 1. Where the branch is expected to carry out one or more of the investment services and activities defined in Article 4(1), point (2), of Directive 2014/65/EU, a description of the following arrangements:
			1. Arrangements for safeguarding client money and assets

Klicka eller tryck här för att ange text.

* + - 1. Arrangements for compliance with the obligations laid down in Articles 24, 25, 27 and 28 of Directive 2014/65/EU and measures adopted pursuant thereto by the relevant competent authorities of the host Member State

 Klicka eller tryck här för att ange text.

* + - 1. Internal code of conduct including controls over personal account dealing

Klicka eller tryck här för att ange text.

* + - 1. Details of the person responsible for dealing with complaints in relation to the investment services and activities of the branch

Klicka eller tryck här för att ange text.

* + - 1. Details of the person appointed to ensure compliance with the arrangements of the branch relating to investment services and activities

Klicka eller tryck här för att ange text.

* + 1. Details of professional experience of the persons responsible for the management of the branch

Klicka eller tryck här för att ange text.

* 1. *Other information*
		1. Financial plan containing forecasts for balance sheet and profit and loss account, covering a period of three years comprising the underlying assumptions (*This information can be provided as an attachment to the notification)*

Klicka eller tryck här för att ange text.

* + 1. Name and contact details of the Union deposit guarantee and investor protection schemes in the Member State of which the institution is a member and which cover the activities and services of the branch, together with the maximum coverage of the investor protection scheme

Klicka eller tryck här för att ange text.

* + 1. Details of the branch’s IT arrangements

Klicka eller tryck här för att ange text.