

*Appendix 1c***Application/notification for senior management in an undertaking which owns a credit institution**

Fill in the information in the form below by checking the relevant box, or providing your response in the space provided. More detailed responses can be provided in separate appendices. See the Appendix Checklist on the last page of the form.

Target company refers to the undertaking being acquired.

As a part of the assessment, Finansinspektionen collects information from, for example, the Swedish Police, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority and firms that provide credit assessments.

1 General**1.1 Basic information**

1. State the name of the target company (including corporate identity number).

2. State the owner undertaking that you shall be assessed in as a board member, managing director, or deputy managing director (including corporate identity number).

3. Is the owner undertaking the owner of other undertakings under Finansinspektionen's supervision?

☐ Yes

☐ No

If yes, state which undertaking(s) (including corporate identity number).

4. Is the acquirer a financial holding company or a mixed financial holding company in a financial conglomerate?

☐ Yes

☐ No

1.2 Contact information

Who should Finansinspektionen contact for issues pertaining to this assessment?

| | |
|--------------------------|--|
| First name: | |
| Surname: | |
| Title: | |
| Name of the undertaking: | |
| Address: | |
| Telephone number: | |
| Email: | |

1.3 Board assignment or position in the undertaking

1. Which board assignment or position in the owner undertaking will be assessed?

- ☐ chairman of the board
- ☐ board member
- ☐ alternate board member
- ☐ managing director
- ☐ deputy managing director

2. Does the assessment refer to an employee representative?

☐ Yes

☐ No

2 Information

2.1 Personal information

| | |
|--|--|
| Name in full and previous name (if any): | |
| Date and place of birth: | |
| Nationality: | |
| Personal identity number or equivalent: | |
| Home address: | |
| Telephone number: | |
| Mobile telephone number: | |
| Fax number: | |
| Passport number: | |
| Email: | |

Also attach a certified copy of an identity document.

2.2 CV

Append a CV that contains relevant information about your education, work experience and other assignments. The description of your education must include the type of education (e.g., university, course provider), field of education (e.g., financial analysis), period of time, scope and educational institution. In terms of work experience, specify the firm, its business, your position, work duties and period of time. *Position* refers to position and board assignments.

2.3 Reputation of the senior manager

1. Have you

a) in the past ten years, been convicted by a Swedish or foreign court, or formally been a suspect in an ongoing investigation, for a financial crime for which fines, imprisonment or a suspended sentence are included in the range of punishments?

☐ Yes

☐ No

b) in the past ten years been sentenced to fines, imprisonment or a suspended sentence by a Swedish or foreign court for a crime other than that specified in 2.3.1a?

☐ Yes

☐ No

c) in the past five years, been a member of the board or managing director or deputy managing director of a commercial undertaking where the board of directors was not discharged from liability?

☐ Yes

☐ No

d) in the past five years been dismissed from employment at a financial undertaking or as a senior manager or from an assignment as a board member or auditor in another commercial undertaking?

☐ Yes

☐ No

2. Are you a party in current criminal proceedings?

☐ Yes

☐ No

3. To the best of your knowledge, have you or any undertaking in which you are or have been part of the senior management or a board member or have or have had control,

a) during the past five years been (or still are/is) party to administrative proceedings concerning tax or business, arbitration proceedings or civil proceedings (excluding family-related matters)?

☐ Yes

☐ No

b) in the past five years been (or still are/is) subject to a debt restructuring, composition or company reconstruction or entered into bankruptcy or an equivalent process in another country?

☐ Yes

☐ No

c) in the past ten years been subject to a decision from the Swedish Tax Agency imposing tax supplements, late payment fees or administrative fines in accordance with the Tax Procedures Act (2011:1244), revised tax assessment or an estimated assessment?

☐ Yes

☐ No

d) at any time been prosecuted, been party to a criminal investigation or administrative proceedings or been sanctioned or subject to enforcement proceedings regarding fraud, corruption, money laundering, financing of terrorism or other financial crime, or negligence to take appropriate measures and follow internal instructions for preventing such events?

☐ Yes

☐ No

e) at any time been subject to investigation, enforcement proceedings or other procedures that may be relevant in assessing your suitability?

☐ Yes

☐ No

f) been the subject of an intervention (for example an administrative fine, injunction to take action, remark, warning or withdrawal of authorisation) by a supervisory authority in Sweden or in another country?

☐ Yes

☐ No

g) in the past ten years, either in Sweden or in another country, had an application rejected, been excluded from conducting business or in another way had limitations placed on your right to conduct business or a profession that requires a licence, registration or the equivalent?

☐ Yes

☐ No

h) at any time in Sweden or another country had authorisation to conduct operations withdrawn or in another way been excluded from or stripped of the right to conduct operations by an authority or another public entity, or by a trade organisation or similar organisation?

☐ Yes

☐ No

i) in the past ten years been the subject of a suitability assessment by a foreign competent supervisory authority?

☐ Yes

☐ No

4. If you have answered yes to any of the questions 1–3, please describe the circumstances. If you answered yes to question 3i, append a copy of the decision of the foreign authority.

3 Specific information from certain owner undertakings

If the owner undertaking is a financial holding undertaking or a mixed financial holding undertaking in a financial conglomerate, the undertaking shall also append their evaluation of whether the person to whom the application applies fulfils the requirements set out in Chapter 3, section 5 of the Credit Institutions and Securities Companies (Special Supervision) Act (2014:968).

4 Disclosures

Submit any additional information to Finansinspektionen below.

The undersigned hereby certifies that the information submitted in this application is correct and complete.

Date:

.....
Signature

.....
Name in print

Checklist – documents that must be appended

| The following documents shall be appended | Appended | If not appended, explain |
|---|-----------------|---------------------------------|
| A certified copy of an identity document as set out in section 2.1. | | |
| A CV as set out in section 2.2. | | |
| Specific information from certain ownership undertakings as set out in section 3. | | |