

*Appendix 2***Application – suitability assessment of senior management in a credit institution**

Fill in the information in the form below by checking the relevant box, or by 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.

As a part of the suitability 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**

State the undertaking to be assessed (including corporate identity number).

1.2 Contact information

Who should Finansinspektionen contact about this assessment?

First name:	
Surname:	
Title:	
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

3. Have you already been subject to a suitability assessment by Finansinspektionen for another board assignment or position in the present undertaking in question or in another undertaking under Finansinspektionen's supervision?

☐ Yes

☐ No

If you have answered yes, specify the board assignment/position and, where applicable, the other undertaking.

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2 Information about the person subject to the suitability assessment

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:	
E-mail:	

Also attach a certified copy of an identity document.

2.2 Employments and senior management assignments

1. Name all undertakings in which you are an appointed board chair, board member, alternate board member, managing director or deputy managing director.

Name of undertaking (incl. comp. reg. no.)	Type of business	Registered office	Board assignment or position in the undertaking

2. Specify all undertakings in which you are employed. Also state if you have more than one role in the same undertaking.

Undertaking (including corporate identity number)	Type of business	Registered office	Position

3. Describe the powers and areas of responsibility that you are intended to have in the role you are being assessed for. Also specify how much time you estimate being able to dedicate to this role per month.

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2.3 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 undertaking, its business, your position, work duties and period of time. *Position* refers to position and board assignments.

For positions held in the past ten years, specifically describe which delegated authorisations and internal decision-making rights you have had. Also specify any business area responsibilities you have had as well as the number of employees you were responsible for.

2.4. Qualifying ownership

1. Do you hold a direct or indirect qualifying holding or in any other way have significant influence over the undertaking for which the suitability assessment applies?

☐ Yes ☐ No

If yes, please explain.

2. Specify any other undertakings in which you hold a direct or indirect qualifying holding or in any other way have significant influence.

Name of undertaking (incl. comp. reg. no.)	Type of business	Registered office	Holding (per cent)

2.5 Relations and interests

1. Specify all relations that can potentially pose conflicts of interest, including, but not limited to, the following information:

All relations between you or your close relatives (or a legal person you are closely connected to), and

- a) the undertaking,
- b) the parent undertaking or subsidiary to the undertaking,
- c) a person who has a qualifying holding in the undertaking,
- d) a member of the undertaking’s senior management,
- e) a senior manager of the undertaking.

Relations refers to both financial relations such as issued credits, guarantees or pledges and non-financial relations such as being a close relative or in some other way having a close relationship to any of the persons.

Close relative refers to a spouse, registered partner, cohabitee, child, parent or other relative with whom you share living accommodation.

2. If you conduct some form of business or have (or have had in the last two years) any form of business relationship with any of the persons specified in point 1, or are involved in any legal proceedings with such persons.

3. If you or your close relatives have conflicts of interest with the undertaking, its parent undertaking or its subsidiary.

4. If your position in senior management was proposed by shareholders or co-owner with a qualifying holding. If so, please specify which shareholder or co-owner.

5. If you have connections to politically exposed persons as defined in Article 3 (9) of Directive (EU) 2014/95, if you are a politically exposed person yourself or if you have held a position with political influence in the last two years.

6. Describe any other interests or activities that may be in conflict with the target company's interests and activities. Also specify the methods of managing these conflicts of interest.

2.7 Reputation

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 2.7.1a?

☐ 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 equivalent fines in accordance with the Tax Procedures Act, 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) in the past ten years 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 the undertaking

The assessment that the person to whom the application applies fulfils the requirements in accordance with Chapter 3, section 2 of the Banking and Financing Business Act (SFS 2004:297) shall be appended.

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 for suitability assessment for senior managers

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.		
CV, as set out in section 2.3		
Specific information from the undertaking as set out in section 3.		