**FFFS 2013:10** *Appendix 3*

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# Application/Notification for Senior Executives in Owner Undertaking of AIF Manager

If a legal person shall undergo an ownership suitability assessment, the board members, alternate board members, managing director, deputy managing director or other equivalent senior executives in the legal person shall provide the information in this appendix to Finansinspektionen. This assessment is part of the ownership suitability assessment that is conducted for a legal person in accordance with Appendix 2. An assessment shall be conducted if the legal person has a qualifying holding in an AIF manager applying for authorisation in accordance with Chapter 3, section 1 of the Alternative Investment Fund Manager Act (2013:561).

Information in this appendix shall also be provided to Finansinspektionen

1. when submitting notification of changes in ownership in accordance with Chapter 3, section 10 of the Alternative Investment Fund Managers Act, and
2. when submitting notification of changes in senior management in the owner in accordance with Chapter 3, section 10 of the Alternative Investment Fund Managers Act.

As a part of the ownership suitability assessment, Finansinspektionen collects information from e.g. the Swedish Police, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority, and undertakings that provide credit assessments.

## Application form

Fill in the information in the form below. Some of the information is provided as separate documents. Review the Appendix Checklist on the last page of the application.

## Contact details

Whom should Finansinspektionen contact about this application?

First name:

Last name:

Title:

Address:

Telephone number:

Email:

Fax:

Financial institution under assessment (including CIN)?

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## Information about the owner undertaking

In which owner undertaking are you a board member, alternate board member, managing director or deputy managing director or other equivalent senior executive (including CIN)?

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## Position on board and role

Which position in the board or role will be assessed?

[ ]  chair of board

[ ]  board member

[ ]  alternate board member

[ ]  managing director

[ ]  deputy managing director

[ ]  other equivalent senior executive

If you have previously provided identical information to Finansinspektionen as part of a separate matter, you can refer to that matter below. Specify FI’s reference number and the information that was provided.

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## Personal details

*1. If the senior executive is registered in Sweden*

First name:

Last name:

Personal ID number:

Address:

Telephone number:

*If the senior executive is not registered in Sweden\**

First name:

Last name:

Personal ID number

or equivalent:

Date of birth:

Place of birth:

Address:

Telephone number:

Nationality:

Passport number:

Previous nationalities (if any):

Previous name (if any):

\*If you are not registered in Sweden, append a certified copy of an identity document.

## CV

2. Append a CV that contains relevant information about your education, work experience and other assignments.

## Reputation of senior executives

3. Have you:

1. in the past ten years been convicted by a Swedish or foreign court, or formally been charged as a suspect in an ongoing investigation, for a financial crime in respect of which imprisonment is included in the range of penalties?

Yes [ ]  No [ ]

1. during the past ten years been sentenced to imprisonment by a Swedish or foreign court for a crime other than that set out in 3 a)?

Yes [ ]  No [ ]

1. during the past five years been a board member or managing director or deputy managing director of a commercial undertaking in which the board of directors was not granted a release from liability?

Yes [ ]  No [ ]

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

Yes [ ]  No [ ]

4. To the best of your knowledge, have you or any undertaking in which you are or have been a senior executive or a board member or have or have had control:

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

Yes [ ]  No [ ]

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

Yes [ ]  No [ ]

c) been sanctioned by either a Swedish or foreign supervisory authority?

Yes [ ]  No [ ]

d) 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 [ ]

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

Yes [ ]  No [ ]

5. If you have answered yes to any of the questions under 3 and 4, please explain the circumstances.

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## Additional information

Provide any additional information to Finansinspektionen below.

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

Date:

Signature:……………………………………………………………………….

Name in print

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# Checklist – documents that must be appended to the application/notification

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| The following documents shall be appended to the application/notification: | Appended | If not appended, explain |
| If you are not registered in Sweden: a certified copy of an identity document referred to in section 1. |       |       |
| CV as specified in section 2. |       |       |