|  |  |
| --- | --- |
| Date: |  |

## Annex 1

# Investment services and activities passport notification and the change of investment services and activities particulars notification[[1]](#footnote-1)

## Type of notification:

|  |  |
| --- | --- |
|  | Investment services and activities passport notification |
|  | Change of investment services and activities particulars notification |

## Type of company:

|  |  |
| --- | --- |
|  | Investment firm |
|  | Credit institution |

Member State in which the company intends to operate:

|  |
| --- |
|  |

Name of the company:

|  |
| --- |
|  |

Trading name:

|  |
| --- |
|  |

Address:

|  |
| --- |
|  |

Telephone number:

|  |
| --- |
|  |

E-mail:

|  |
| --- |
|  |

Contact person:

|  |
| --- |
|  |

|  |  |
| --- | --- |
| Home Member State: | Sweden |
| Authorised by: | Finansinspektionen |
| Authorisation Date:  |  |

**Intended investment services, activities and ancillary services (\*):**

|  |  |  |
| --- | --- | --- |
|  | Investment services and activities  | Ancillary services  |
| 1  | 2  | 3  | 4  | 5  | 6  | 7  | 8  | 9 | 1  | 2  | 3  | 4  | 5  | 6  | 7  |
| Financial Instruments  | 1  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (\*) Please place an (x) in the appropriate box(ex). |

**Details of Tied Agent located in the home Member State (\*)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of the tied agent | Address | Telephone | Email | Contact |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| (\*) Please provide separate matrices with the intended investment services for each tied agent the investment firm intends to use. |

**Intended investment services to be provided by the tied agent (\*)**

|  |  |  |
| --- | --- | --- |
|  | Investment services and activities  | Ancillary services  |
| 1  | 2  | 3  | 4  | 5  | 6  | 7  | 8  | 9 | 1  | 2  | 3  | 4  | 5  | 6  | 7  |
| Financial Instruments  | 1  |  |  |   |   |  |   |  |  |  |  |  |  |  |  |  |  |
| 2  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (\*) Please place an (x) in the appropriate box(ex). If you intend to make changes to the investment services, activities or financial instruments provided by the tied agent, please list all investment services, activities or financial instruments the tied agent will provide. |

1. For the purposes of a change of investment services and activities particulars notification please complete only the parts of the form which are relevant to the notified changes. If the intention is to make changes to the investment services, activities, ancillary services or financial instruments, please list all the investment services, activities, ancillary services or financial instrument the firm will provide. [↑](#footnote-ref-1)