



**Finansinspektionen**  
Box 7821  
SE-103 97 Stockholm  
[Brunnsgatan 3]  
Tel +46 8 408 980 00  
Fax +46 8 24 13 35  
finansinspektionen@fi.se  
www.fi.se

## **Application/notification for management assessment**

A chairman of the board, alternate board member, managing director and deputy managing director in financial institutions shall submit information in accordance with this appendix when the firm applies for authorisation from Finansinspektionen. The management assessment is part of an application for authorisation.

Information in accordance with this appendix shall also be submitted to Finansinspektionen when submitting notification of changes in the positions mentioned above.

As a part of the management assessment, Finansinspektionen will collaborate with e.g. Polismyndigheten (Swedish Police Authority), Bolagsverket (Swedish Companies Registration Office), Skatteverket (Swedish National Tax Board), Kronofogdemyndigheten (Swedish Enforcement Authority) and firms offering credit assessments.

## **Application form**

Fill in the information in the form below. Some of the information must be submitted as a separate document. Review the Appendix Checklist on the last page of the management assessment.

### **Contact information**

Who should Finansinspektionen contact about this application/notification?

First name:

Surname:

Title:

Address:

Telephone number:

E-mail address:

Fax:

The financial institution under management assessment (including comp. reg. no.)?

### **Position on board and title**

Which position on the board or role will be assessed?

chairman of the board

board member

alternate board member

managing director

deputy managing director

If you have previously submitted identical information to Finansinspektionen as part of a separate matter, you can refer to that matter below. State the registration number and the information that was submitted.

### **Personal information**

*1. If you are registered in Sweden*

First name:

Surname:

Personal identification number:

Address:

Telephone number:

*If you are not registered in Sweden\**

First name:

Surname:

Personal identification number or equivalent:

Date of birth:

Place of birth:

Address:

Telephone number:

Nationality:

Passport no.:

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.

### ***Employment and board and senior management assignments***

3. Specify the firm in which you are employed, receive consistent assignments or are an appointed board member. Also, indicate if you hold several roles within the same company:

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Position on board and title:

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Position on board and title:

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Position on board and title:

***Qualifying ownership***

4. Specify if you either directly or indirectly have a qualifying holding in the firm that is under management assessment or if you in any other way have a significant influence:

5. Specify any other firms in which you hold a direct or indirect qualifying holding or in any other way have significant influence:

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Holding (per cent):

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Holding (per cent):

Name of firm  
(including comp. reg. no.):

Type of business:

Registered office:

Holding (per cent):

***Close relations holding shares***

6. Indicate if a close relation owns shares in the firm under management assessment, or in another firm that in turn owns shares in the firm.

Also, indicate if there are other financial relationships between the above parties.

*Close relation* refers to e.g. a spouse, registered partner, cohabitee, child, parent or other relation with whom you share living accommodations.

***Conflicts of interest***

7. State your position in the firm that is under management assessment and any other engagements that you may have that can potentially result in conflicts of interest and describe how these will be handled.

***Reputation of management***

8. Have you

a) during 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

b) during the past ten years been sentenced to imprisonment by a Swedish or foreign court for a crime other than that specified in 8 a)?

Yes

No

c) during the past five years been a board member or managing director or deputy managing director of an operating company in which the board of directors was not granted a release from liability?

Yes

No

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

Yes

No

9. To the best of your knowledge, have you or any firm in which you are or have been part of senior management 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) during the past five years been (or still are) 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 Swedish or foreign supervision authorities?

Yes

No

d) during 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) during the past ten years been the subject of a suitability assessment by a foreign supervisory authority?

Yes

No

10. If you have answered yes to any of the questions under 8 and 9, please explain the circumstances.

## Information

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 to the management assessment

| 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 as set out on page 31. |          |                          |
| CV, as set out on page 31.   |          |                          |