

Specification of information to be submitted to Finansinspektionen for an application/notification for members of senior management of holding companies of a financial company (ownership assessment)

If Finansinspektionen's permission is required for acquisition of shares in a financial company, board members, deputy board members, the managing director and his or her deputy of the acquiring company shall submit the information set forth in the following specification. The assessment is part of the conducted ownership assessment of the legal person (see Specification 1b). The information shall also be submitted in the application for changes of the aforementioned group of persons.

The following information shall also be submitted by board members, deputy board members, the managing director and his or her deputy in a legal person with a qualifying holding in a company applying for permission to conduct financial operations.

Section 1

- Information on the contact person
 - name
 - title
 - address
 - telephone number
 - e-mail
 - fax.
- Information on which financial company the ownership assessment refers to (incl. company reg. no.).
- Information on the position (board member, deputy board member, managing director or his or her deputy) and in which company (incl. company reg. no.).
- Information on the person for which the management assessment will be conducted.
If the person resides in Sweden, please provide the following information:
 - name
 - civic registration number
 - address
 - telephone number.

If the person resides in a country outside of Sweden, the following information shall be provided:

- name
- any civic registration number
- date of birth
- place of birth

Specification 1c

- passport number
 - address
 - telephone number
 - information on any previous nationalities and any former names.
 - certified copy attached of an identity document.
- A CV (stating relevant education, working experience and other assignments).
- Information (including a description of the circumstances) on the person for which the management assessment will be conducted:
 - during the past ten years has been sentenced in a Swedish or foreign court for, or formally charged as a suspect of, financial crime of which imprisonment is included in the range of penalties specified for the crime,
 - during the past ten years has been convicted to imprisonment by a Swedish or foreign court for another crime than those stated above,
 - over the past five years has been a member of a board of directors in an operating company and has not been granted a release from liability,
 - during the past five years has been dismissed from a position in a financial company or employment as a senior executive or an engagement as a board member or auditor in another operating company.
- Information (incl. a description of the circumstances) on the acquirer or – which the person is aware of – any company in which the acquirer is or has been a senior executive or board member alternatively has or has had control over:
 - during the past five years has been (or is) involved in any civil or administrative legal process in a court or arbitration board which obviously has no significance for the ownership assessment,
 - during the past five years has been (or is) the subject of a composition or company reorganisation, was placed into insolvent liquidation or the equivalent in a foreign country,
 - during the past ten years has been subject to sanctions by a competent supervisory authority in Sweden or in a foreign country,
 - during the past ten years in Sweden or in a foreign country has had an application rejected, been excluded or in any other way limited in terms of the right to conduct operations or a profession which requires permission, registration or such of the competent authority, organisation or equivalent body,
 - during the past ten years has been the subject of a suitability assessment by a foreign financial supervisory authority.

About the application

- The application shall be signed by the person who will be the subject of the ownership and management assessment. It shall certify that the information submitted is correct and complete.
- In the event that identical information has already been submitted to Finansinspektionen in another matter, please refer to it by stating the registration number and what information it deals with.

Specification 1c

- Please note: In conjunction with the ownership and management assessment, Finansinspektionen will obtain information from, e.g. Rikspolisstyrelsen (Swedish National Police Board), Bolagsverket (Swedish Companies Registration Office), Skatteverket (Swedish National Tax Board) and Kronofogdemyndigheten (Swedish Enforcement Authority).