



Form 1a – Registered Payment Service Providers

Ownership Suitability Assessment – Natural Person

A natural person shall apply for ownership suitability assessment by providing the information to Finansinspektionen in this form, given the following situations:

1. If you intend to directly or indirectly acquire a qualifying acquisition in a registered payment service provider, fill in all information in this form.
2. If you have a qualifying holding in an undertaking that is applying to provide payment services as a registered payment service provider, only fill in the contact information and the information requested in Section 1.

As a part of the ownership suitability assessment, Finansinspektionen will collaborate with e.g. the Swedish National Police Board, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority and undertakings that provide credit assessments.

The *target company* in this form refers to the undertaking applying to be allowed to provide payment services as a registered payment service provider or is already registered as a payment service provider.

The *acquirer* in this form refers to the natural person who owns, or intends to own, the undertaking that is applying to provide payment services as a registered payment service provider or already is registered as a payment service provider.

Application form

Fill in the information in the form below. Some of the information is provided as separate documents.

Contact details

Whom should Finansinspektionen contact about this application?

First name: _____

Last name: _____

Title: _____

Address: _____

Telephone: _____

Email: _____

Fax: _____

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

Name of the acquirer: _____

The *target company* under acquisition (including CIN)?

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

1. Information about the acquirer

Personal details

1.1. *If you are registered in Sweden*

First name: _____
Last name: _____
Personal ID number: _____
Address: _____
Telephone number: _____

*If you are 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

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

Describe the ownership chain

1.3. Append a description or chart of the chain of ownership before and after the acquisition.

Participations shall be stated as a percentage of the issued participations. If the voting rights differ from the participations, also state the number of votes as a percentage of the total number of votes.

Also, list owners that in any other way have a significant influence over the undertaking subject to acquisition, the *target company*.

List the nature of the business and the registered office for each undertaking in the ownership chain.

Also, indicate which undertakings are under the supervision of Finansinspektionen or an equivalent foreign authority.

Reputation of the acquirer

1.4. Have you

a) 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

b) in the past ten years been sentenced to imprisonment by a Swedish or foreign court for a crime other than that specified in 1.4a?

Yes

No

c) in 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 discharged from liability?

Yes

No

d) 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

1.5. 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/is) 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 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 sanctioned by either Swedish or foreign supervisory authorities?

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 fit and proper assessment by a foreign competent supervisory authority?

Yes

No

1.6. If you have answered yes to any of the questions under 1.4 and 1.5, please explain the circumstances:

2. Information about the acquisition

2.1. Specify the size of the holding you intend to acquire in the target company. The number of participations shall be stated as a percentage of the number of issued participations.

State the number of participations before and after the acquisition (direct and indirect).

If the voting rights differ from the number of participations, also state the number of votes as a percentage of the total number of votes.

2.2. State the expected date of acquisition.

2.3. State the purpose of the acquisition.

3. Financing the acquisition

3.1. Specify how you intend to finance the acquisition. Describe the background of all financing items (whether monetary or other type of asset), their value, to whom they belong and in which jurisdiction they are located.

Append documentation that supports this information.

3.2. Specify if there is a co-operation with a natural or legal person with regard to financing the acquisition and describe the conditions of this co-operation.

Additional information

Provide any additional information to Finansinspektionen below.

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

Date:

.....
Signature

.....
Name in print