**FFFS 2009:3.** *Appendix 1c:*

# Notification of Senior Executives in **an** Owner Company of a Registered Issuer of Electronic Money

Where a legal person is or intends to become an owner of a registered issuer, the registered issuer must provide the information in this form to Finansinspektionen about board members, alternate board members, the managing director and the deputy managing director in the legal person. This assessment is part of the ownership notification submitted by the legal person in accordance with Form 1b.

A notification shall be submitted in the following situations:

1. Where the legal person has a qualifying holding in an undertaking that is applying for exemptions from the authorisation obligation to issue electronic money as a registered issuer.
2. Where the legal person intends to make or already has made a qualifying acquisition in a registered issuer.
3. Where a new board member, alternate member, managing director or deputy managing director is appointed or changes position or role in the owner undertaking.

In conjunction with the notification, Finansinspektionen will collect information from e.g. the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority and undertakings that provide credit assessments.

## Notification 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 number:

Email:

Fax:

The registered issuer referred to in the notification (including CIN)?

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## Information about the owner company

In which owner undertaking is the senior executive a board member, alternate board member, managing director or deputy managing director (including CIN)?

## Position on board and role

Which position in the board or role will be assessed?

[ ]  chair of the board of directors

[ ]  board member

[ ]  alternate board member

[ ]  managing director

[ ]  deputy managing director

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

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## Personal details

#### If the senior executive is registered in Sweden

First name:

Last name:

Title:

Address:

Telephone number:

Email:

*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:

Email:

Nationality:

Passport number:

Previous nationalities (if any):

Previous name (if any):

\* If the senior executive is not registered in Sweden, append a certified copy of an identity document.

## CV

2. Append a CV that contains relevant information for the position in question about the senior executive’s education, work experience and other assignments.

## Reputation of senior executives

1. Has the senior executive
2. 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 [ ]

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

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 [ ]
2. 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 [ ]
3. To the best of your knowledge, has the senior executive or any undertaking in which this person is or has been a senior executive or a board member or has or has had control:
4. during the past five years been (or still is) party to arbitration proceedings or civil (excluding family-related matters) or management proceedings concerning tax or business?

Yes [ ]  No [ ]

1. 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 [ ]
2. in the past ten years been sanctioned by either Swedish or foreign supervisory authorities?

Yes [ ]  No [ ]

1. 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 [ ]

1. in the past ten years been the subject of a fit and proper assessment by a foreign competent supervisory authority?

Yes [ ]  No [ ]

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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Date:

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

Name in print

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