



Manual

# Applications e-service

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1 April 2023



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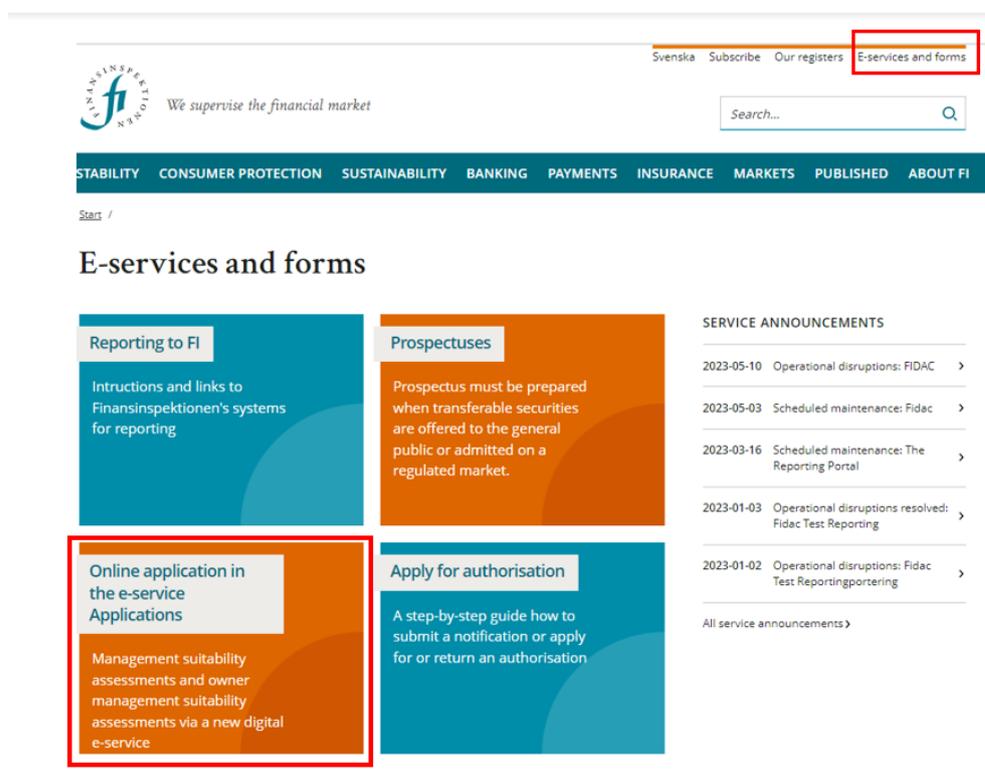
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# Introduction

Applications is FI's new digital e-service for applying for authorisation. In Applications, external representatives can apply for management suitability assessments and owner management assessments for the institutes they represent. Ultimately, the online tool will be expanded to include other types of authorisation.

## Logging in

You can reach Applications from Finansinspektionen's website <https://www.fi.se/> by clicking "E-services and forms".



You can log into Applications in one of two capacities:

- **Representative**, that is, a person who has been authorised by an institute to create and administrate an application.
- **Person being assessed**, that is, the person who is being evaluated.

To log in to Applications as a representative or the person being assessed, you first need to register for a user account in Finansinspektionen's authorisation system.

To register, click here and follow the instructions: <https://www.fi.se/en/e-services-and-forms/register-an-account/>

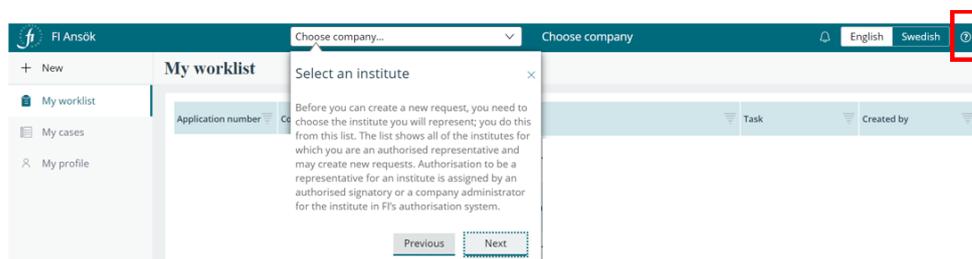
## Authorisations

To create a case (owner or management suitability assessment) in Applications, you must first receive authorisation as a **rappporteur in Applications–Authorisation** from the authorised signatory or business administrator of the company you will be representing.

Please click the following link for more information on how an authorised signatory or business administrator can grant a representative authorisation and how the company is added to the system: <https://www.fi.se/en/e-services-and-forms/apply-for-authorisation/online-application-in-the-e-service-applications/>

Once you, as a representative, have logged in to Applications, you can select your company and create a new application by clicking + **New**. On the first page, once logged in as a representative, you can also view your worklist, cases and profile.

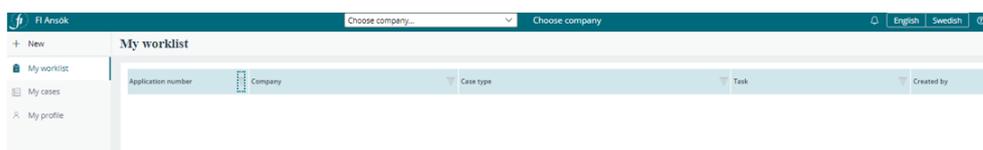
The first time you log in to Applications, a guide for navigating this FI e-service will automatically pop up. You can close this guide, but it will remain available to you via the question mark icon at the top right of the page.



## Windows and concepts

The first page of Applications will be customised to your specific authorisation profile, whether it be as a representative or the person being assessed. The Applications e-service is available in Swedish and English and it is easy to switch to the language you require.

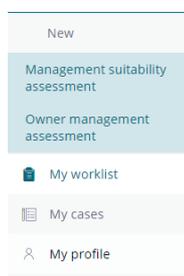
1. The start page may look as below if you are logging in as a **representative**:



You can choose a company in the drop-down list at the top



In the left-hand column, you will see the following:



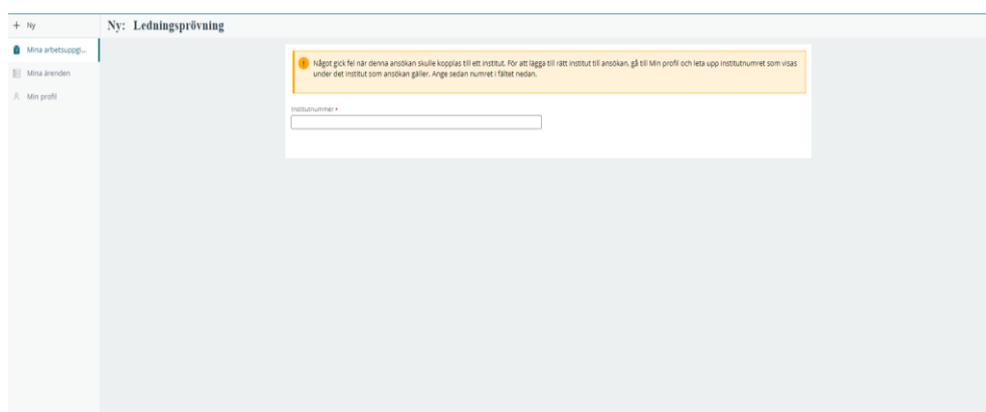
- **+ New:** This enables you to create a new management suitability assessment application or a new owner management assessment application.
- **My worklist:** This displays a list of the open work tasks you must complete for your case.
- **My cases:** Here, you can view a list of all the cases you have created. The application number, company, case type, case status and creation date are displayed.
- **My profile:** Here you can view your contact information and the institutes you are authorised to represent. You **cannot change** your contact information in Applications. To change your contact information, log in to the authorisation system and do it there.

<https://portal.finansinspektionen.se/saml/authenticate/fisamlselector>

While being processed, a case in Applications can have one of six statuses:

Ärendetyp	Status	Skapat datum
Ledningsprövning	Inväntar betalning	2022-10-14
Ledningsprövning	Handläggning	2022-10-14
Ledningsprövning	Handläggning	2022-10-14
Ledningsprövning	Beslutad	2022-10-13
Ledningsprövning	Påbörjad	2022-10-24
Ledningsprövning	Ny	2022-10-24
Ledningsprövning	Avslutad	2022-10-24

**New** means the system cannot link an application to an institute and that you need to do it manually.



The screenshot shows a web interface for a new application. The title is 'Ny: Ledningsprövning'. On the left, there is a sidebar with navigation links: '+ Ny', 'Minna arbetsupp...', 'Minna ärenden', and 'Min profil'. The main content area features a yellow warning box with a circular icon containing an exclamation mark. The text in the warning box reads: 'Viktigt gick fel när denna ansökan skulle kopplas till ett institut. För att lägga till rätt institut till ansökan, gå till Min profil och leta upp institutsnumret som visas under det institut som ansökan gäller. Ange sedan numret i fältet nedan.' Below the warning box is an input field labeled 'Institutsnummer' with a small asterisk indicating a required field.

**Started** means you have started an application but that it is not yet completed or submitted to FI.

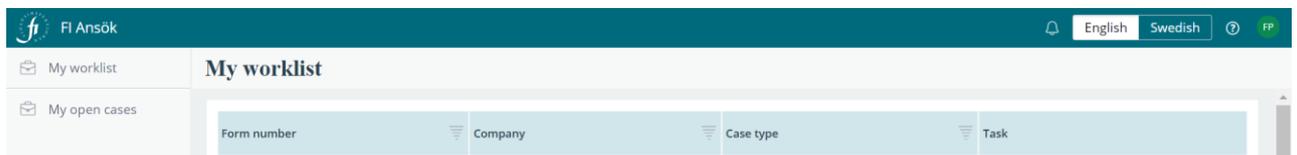
**Awaiting payment** means FI has received the application and is awaiting your payment to start processing it.

**Processing** means that FI has received the case and has started processing it.

**Decided** means that FI has reached a decision on your application.

**Closed** means that FI has closed out the case.

2. The start page may look as below if you are logging in as the **person being assessed**:



The following headings are displayed at the top:



- **Notifications**
- **Language:** Select from Swedish or English.
- **Support:** Here you will find the manual and contact information for receiving support.
- **Log out**

The following headings are displayed in the left-hand column:



- **My worklist:** This displays a list of the open work tasks you must complete for your case.

- **My open cases:** Here, you can view a list of all the cases you have created. The application number, company, case type, case status and creation date are displayed.

# Create a case

To create new cases, you need to be logged in as a representative. You also need to have been granted authorisation by the company you will be representing to act as a rapporteur in Applications–Authorisations. For further information, see page 4.

**NOTE** If you are unable to **select a company** at the top of the page and **+ New** does not appear on the left, you may not have the right authorisation profile. Log into FI's Reporting Portal and check your authorisation profile.

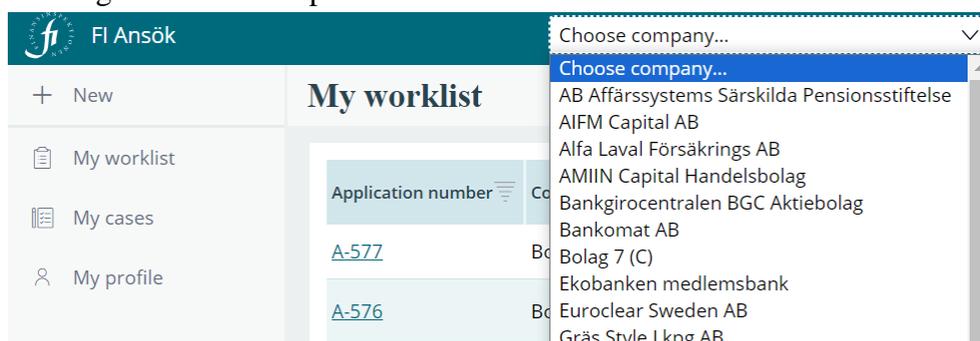


FI will send all communication regarding your case (request for supplementary information, injunction and decision or closing letter) through the Applications e-service.

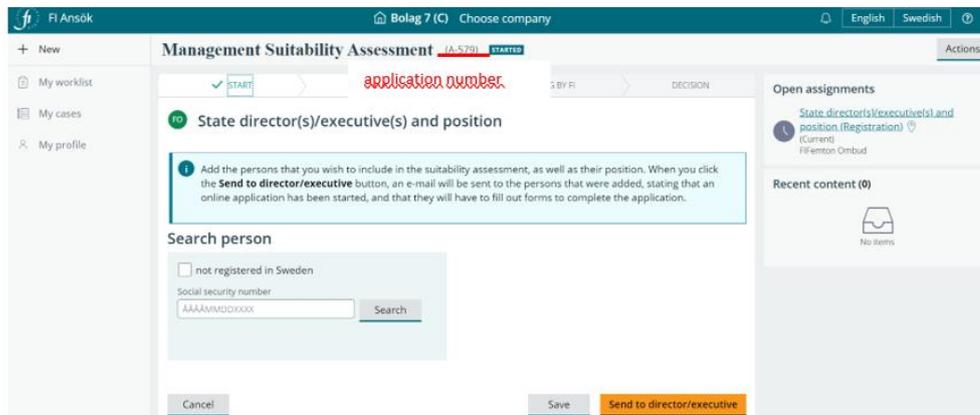
## Management suitability assessment

Do the following to create a new management suitability assessment:

- Select the company for which you are ordering the assessment by clicking on it in the drop-down menu.

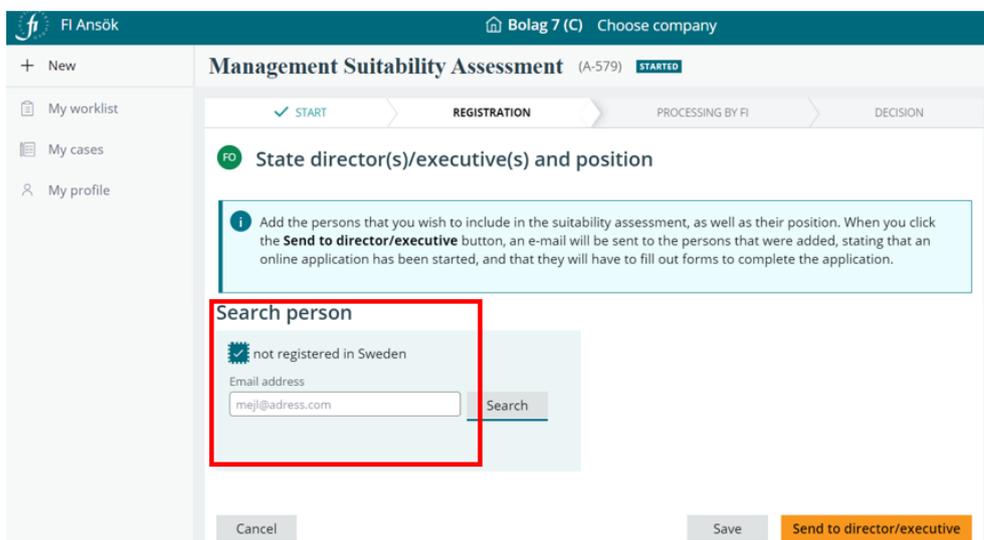


- Click **+ New** on the left and then click **Management Suitability Assessment**.
- Add the director/executive to be assessed.



**Note** that the individual(s) to be assessed in your case must also be registered in FI's Reporting Portal. They do not require authorisation. It is enough that they are registered.

- Fill in the personal identity number (for Swedish citizens) or tick **not registered in Sweden** and fill in an email address (for a foreign citizen) for the person(s) to be assessed.



The assessed person's information is displayed.

- Select either **Change in position** or **Assessment of new director/executive**.
- Select the new position(s) (several can be selected) from the options in the drop-down list. See the image below.

fi Fi Ansök Bolag 7 (C) Choose company

**Management Suitability Assessment** (A-579) **STARTED**

+ New

- My workload
- My cases
- My profile

not registered in Sweden

Email address

First name: FIJjorton      Last name: Prövande  
 Email address: acctestf14@fi.se

What is the application for?  
 Change in position of director/executive  
 Assessment of new director/executive  
 Does the assessment refer to an employee representative?  
 If the assessment refers to one or several central functions, is the work in the central function(s) outsourced?

New position (multiple selections possible)  
   
 head of the actuarial function  
 head of the internal audit function  
 head of the compliance function  
 head of the risk management function  
 chair of the board  
 alternate board member  
 managing director  
 deputy managing director

- Click + **Add as director/executive**. The selected director/executive and position(s) are displayed on the right.

**Management Suitability Assessment** (A-579) **STARTED**

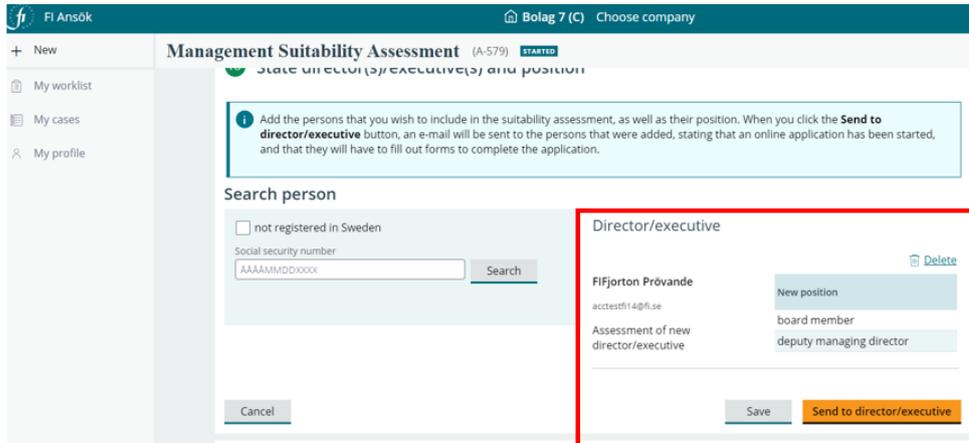
not registered in Sweden

Email address

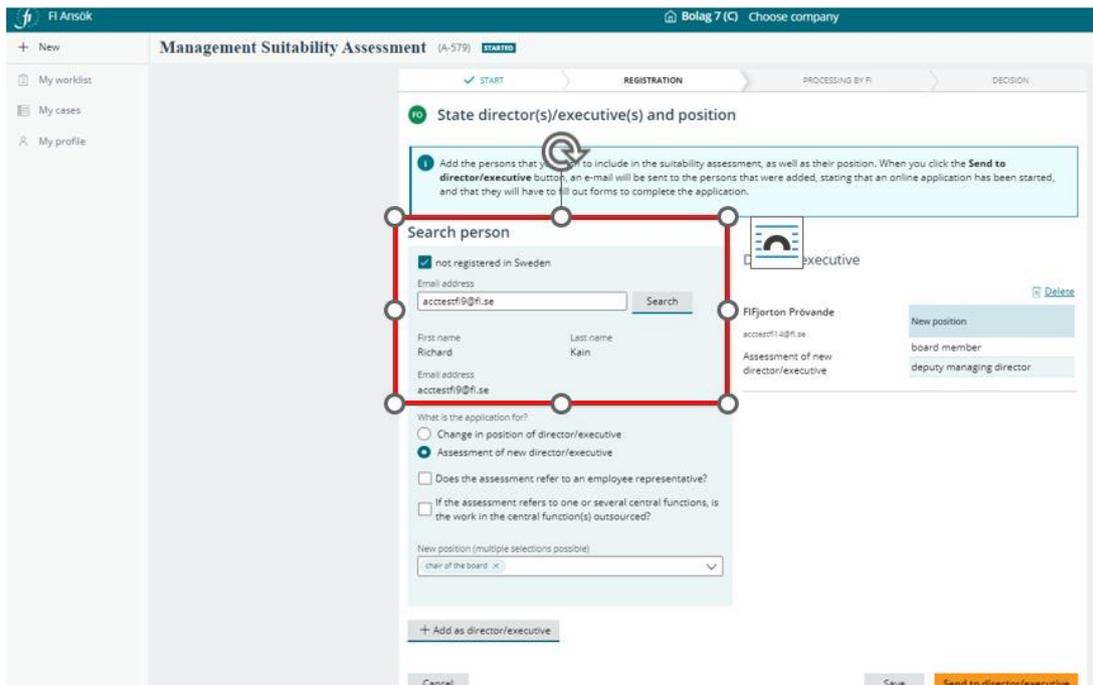
First name: FIJjorton      Last name: Prövande  
 Email address: acctestf14@fi.se

What is the application for?  
 Change in position of director/executive  
 Assessment of new director/executive  
 Does the assessment refer to an employee representative?  
 If the assessment refers to one or several central functions, is the work in the central function(s) outsourced?

New position (multiple selections possible)



You can add additional director(s)/executive(s) by typing in each person's personal identity number or email address and then clicking on **+ Add as director/executive**.



When you have added all directors/executives, click **Send to director/executive**. The system will then automatically send an email to each person being assessed that explains the need to log in to the system.

The system will automatically adapt the form based on the regulations that apply for the operations the applying company registered with FI. If it is a matter of several authorisations, the person being assessed may need to fill out multiple forms.

You, the representative, also need to append the documents required by the regulatory framework. The system shows what you need to append when you reach **Other information**. See the example below.

The screenshot shows the 'Management Suitability Assessment' form in the 'Other information' section. The form is titled 'Management Suitability Assessment (A-579)'. The 'Other information' section is expanded, showing three sub-sections: 'Consolidated competencies of the Board', 'Certificate from an authorized signatory', and 'Other information'. Each sub-section has an 'Attach files' button and a 'No items' indicator. The 'Consolidated competencies of the Board' section includes a link to download a form: 'Ansökan/Ansökan styransens samlade kompetens, bilaga 2.b'. The 'Certificate from an authorized signatory' section includes a link to download a form: 'Ansökan/Ansökan styransens samlade kompetens, bilaga 2.b'. The 'Other information' section includes a link to download a form: 'Ansökan/Ansökan styransens samlade kompetens, bilaga 2.b'. The right sidebar shows a list of 'Other information (Registration)' items, including 'Application form (E-1810) assessment' and 'Application form (E-1809) assessment'. The 'Recent content' section is empty.

The screenshot shows the 'Management Suitability Assessment' form in the 'Other information' section. The 'Attach file(s)' dialog box is open, displaying the following text: 'Uploaded files can have a maximum size of 20 MB and must have one of the following formats: doc, docx, gif, jpg, pdf, png'. The dialog box has a 'Cancel' button and an 'Attach' button. The background form is dimmed, showing the 'Consolidated competencies of the Board' section with an 'Attach files' button and a 'No items' indicator. The 'Certificate from an authorized signatory' section is also visible, with an 'Attach files' button and a 'No items' indicator. The 'Other information' section is at the bottom, with an 'Attach files' button and a 'No items' indicator.

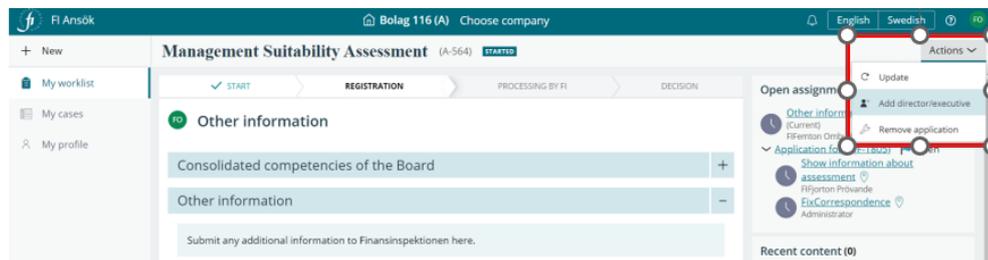
- Attach appendices by clicking on **Select file(s)** or by dragging and dropping them in the **Drag and drop files here** box.

You, the representative, need to wait until the person being assessed fills out, confirms and sends the form back to you via the system. You can also pre-fill the form for the person being assessed. Do so by filling it out in advance. See page 14.

When the person being assessed has filled out and confirmed the form, you, the representative, will receive an email notifying you that you have a task to complete in Applications. When you log in, you will find the open application among your work tasks. Click on the application to open it and continue.



You can always add director(s)/executive(s) while preparing the application, that is, **before submitting it to FI**. To do this, click **Actions** on the right and select **+ Add director/executive**. You are not permitted to add directors/executives after you have sent in the application to FI. Click **Next** to continue with your application.



- You can select either **bank giro**, **invoice** or **e-invoice**.
- **Send to FI**. The application is submitted to FI. You can monitor the status of your case by clicking **My cases** in the menu on the left.

START > **REGISTRATION** > PROCESSING BY FI > DECISION

**Choose method of payment and submit**

Payment method \*  
 Bankgiro  Invoice

C-invoice

Invoicing address  Other invoicing address

Company name: Bolag X      CIN: 554455-5566  
 Box 7060      103 86  
 City: STOCKHOLM  
 Country: SE

Reference:

Fee	
Bolag X	15,000.00 SEK
<b>Total</b>	<b>15,000.00 SEK</b>

It is hereby confirmed that the invoice information is correct. If you want to change invoice information, select "Other invoicing address"

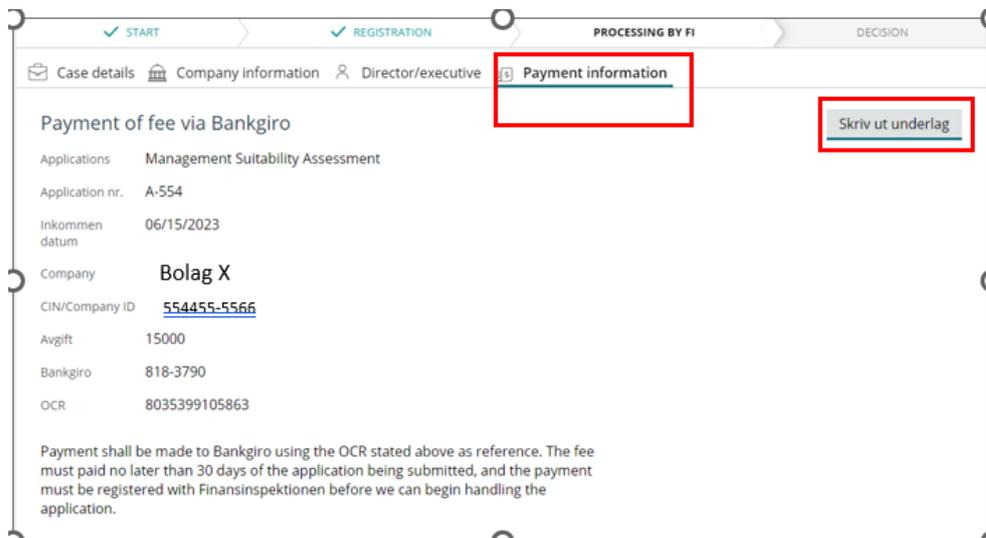
**Payment method**  
 Invoice

Invoices will be sent via mail to the address stated below.  
 15,000 must be paid no later than 30 days of the application being submitted, and the payment must be registered with Finansinspektionen before we can begin handling the application.

Cancel      Save      **Send to FI**

If you pay the fee via **bank giro** you, as a representative, can download the payment document. This document contains information on the bank giro number, fee, OCR number, case number, the company the case applies to and the company's ID. To download the document, you must first **submit the case to FI**.

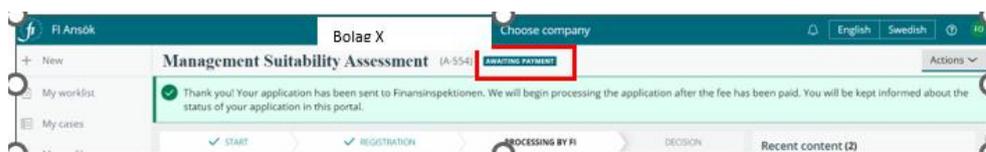
- Open the **My cases** tab and the case you want to retrieve the document for.
- Click Payment information and select **Skriv ut underlag [Print document]**.
- Select **Skriv ut underlag [Print document]**.



- Save as a PDF or print.

**Note** that the fee must be paid within 30 days of FI having received the application. We reserve the right to reject your application if the payment is not registered with FI within 30 days.

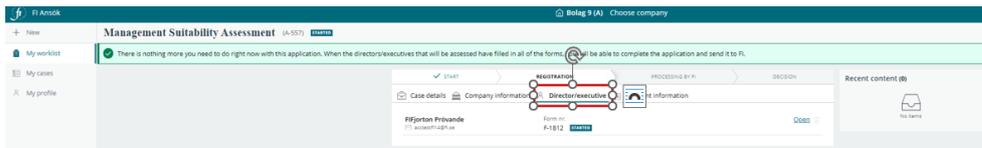
The status of cases submitted to FI is changed to **Awaiting payment**.



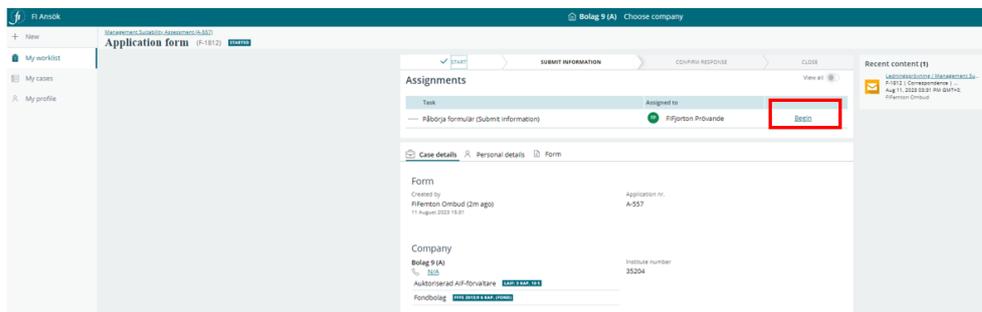
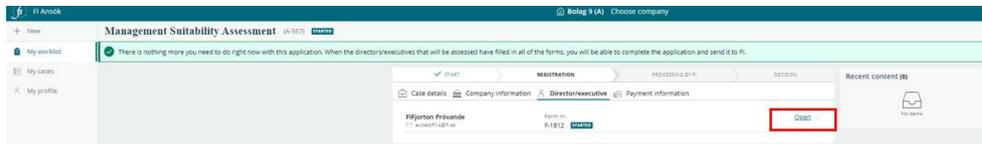
Application number	Company	Case type	Submission Status	Create date
A-554	Bolag X	Management Suitability Assessment	Awaiting payment	2023-06-15
A-579	Bolag 7 (C)	Management Suitability Assessment	Started	2023-08-08
A-576	Bolag 121 (A1)	Management Suitability Assessment	Started	2023-07-19
A-577	Bolag 117 (A)	Management Suitability Assessment	Started	2023-07-19

Once the payment has been received, FI will change the case status to **Processing**. You can view the status of the payment by clicking **Payment information** in the case.



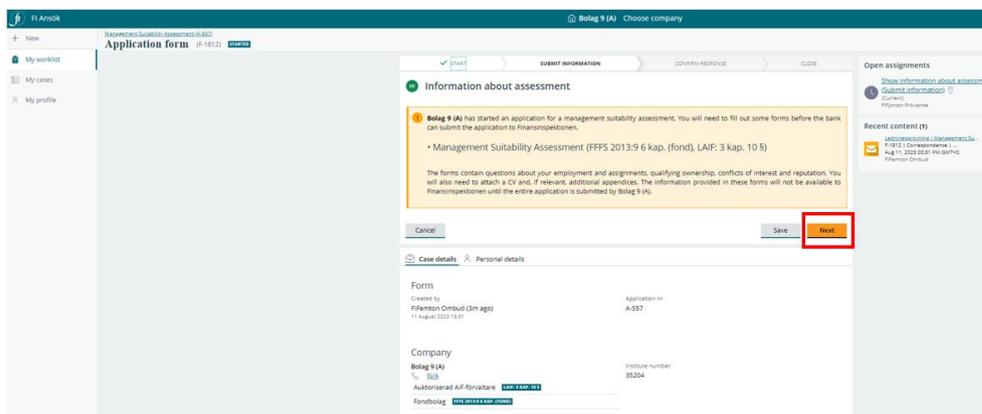


- Click **Begin**.



You are taken to the first page of the form. Here you see the details of the institute the application applies to and against what regulatory framework it will be assessed.

- To start filling out the form, click **Next**.



'Personal details' shows the information from FI's authorisation system that is registered about the person being assessed.

- Fill in any missing information and click **Confirm**.

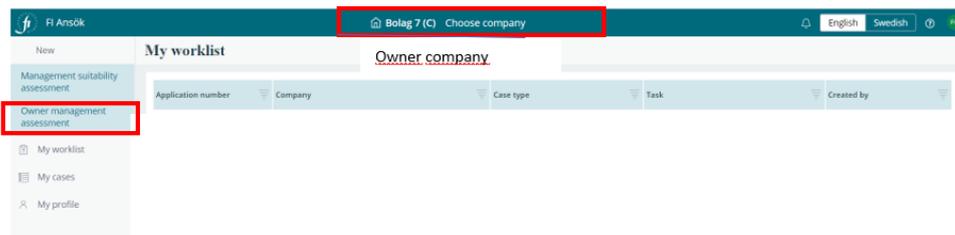
Work your way through the form by answering the questions and clicking **Next**. As a representative, you can also attach the appendices the system requires, such as a CV and an identity document.

Once you have filled out everything you can as a representative, the system will show the message below. The director/executive must now log in to the system and confirm the information for you to be able to proceed with the case.

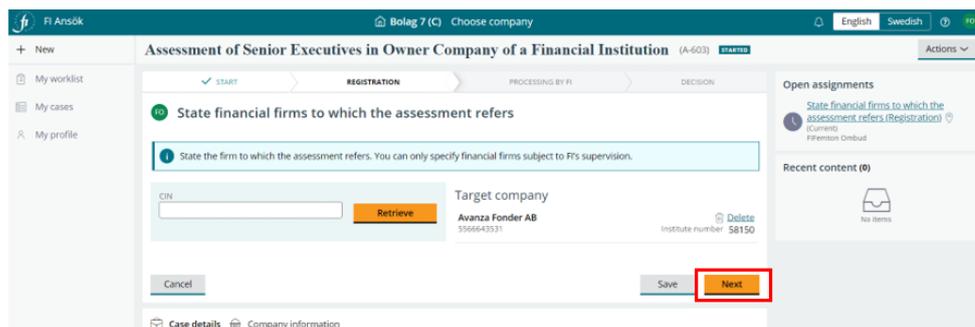
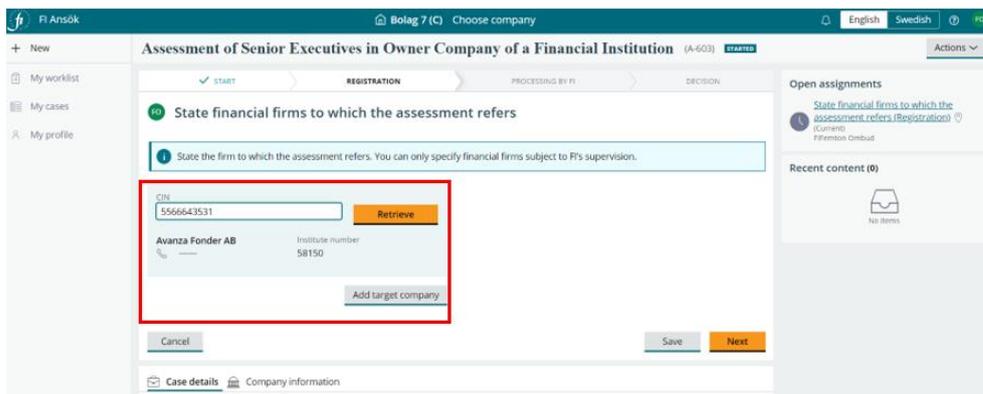
## Owner management assessment

Do the following to create a new owner management assessment:

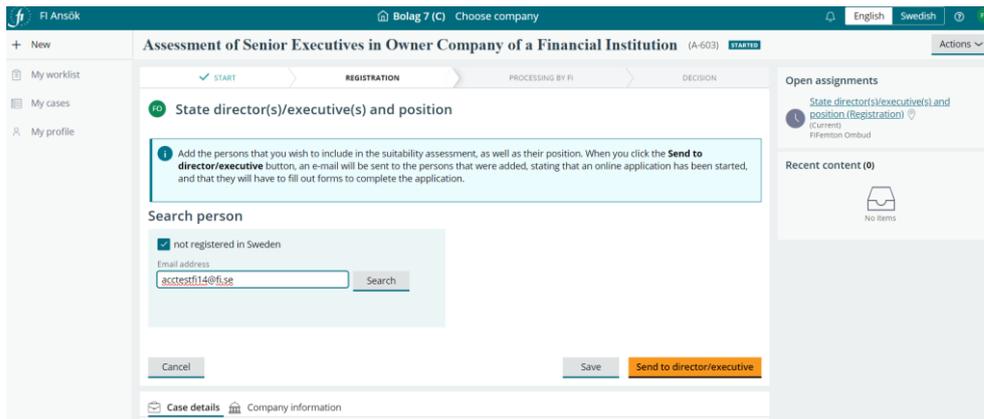
- Select the company for which you are ordering the assessment.
- Click **+ New**, select **owner management assessment**.



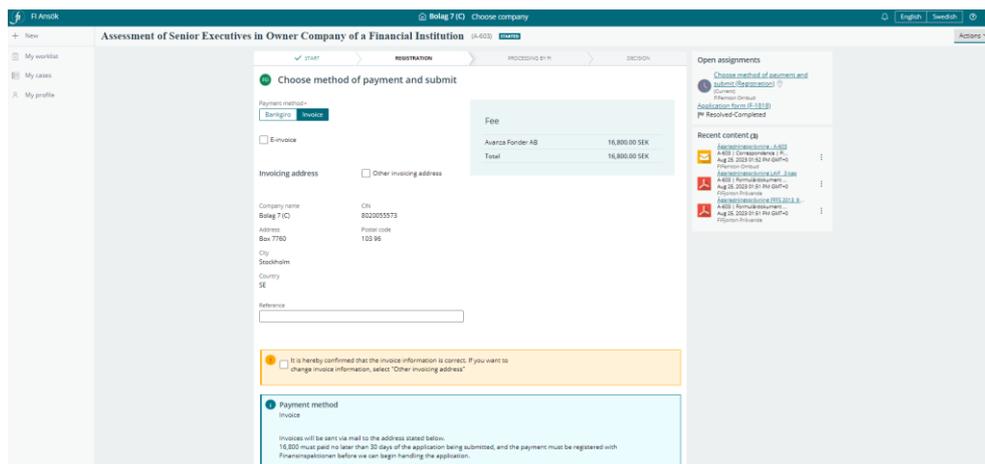
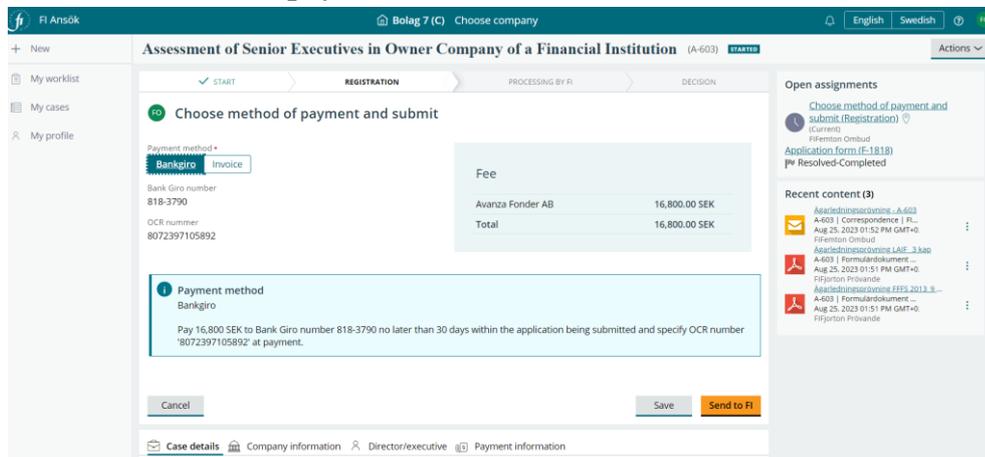
- Type the corporate identity number (without hyphens) for the institute(s) under Finansinspektionen's supervision that is/are a target company(ies). Click **Retrieve**.
- Click **Add target company**. The target company is displayed on the right. You can add multiple target companies.
- When you are finished, click **Next**.



- Fill in the personal identity number (for Swedish citizens) or tick **not registered in Sweden** and fill in an email address (for a foreign citizen) for the person(s) to be assessed.
- Fill in the form. See the instruction on management suitability assessments in the section above.



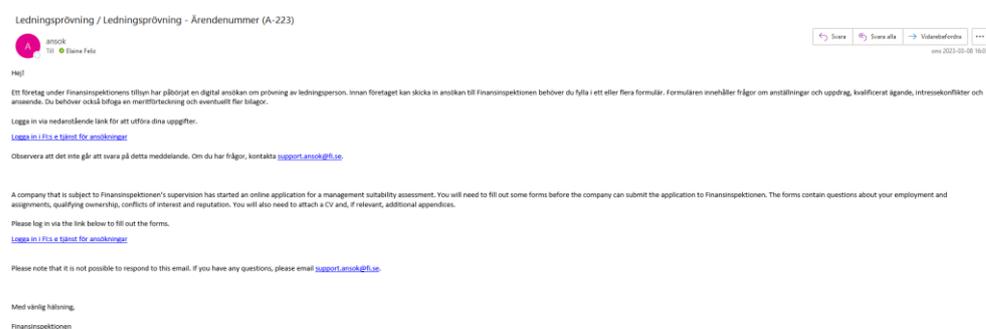
- When you are finished with the form, click **Next**.
- Choose a method of payment and send it in to FI.



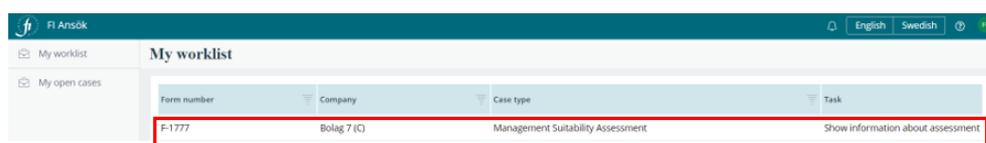
## Fill out a form as the person being assessed

Before a company under FI's supervision, or an owner of that company, can send in an application for an owner and/or management suitability assessment, you, the person being assessed, need to fill out one or more forms. The forms contain questions about your employment and assignments, qualifying ownership, conflicts of interest and reputation. You will also need to attach a CV and, if relevant, additional appendices.

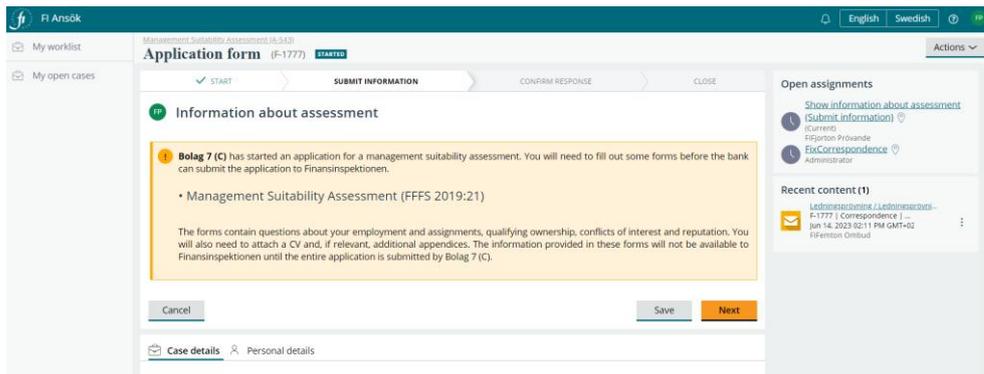
When an application has been started by a representative in which you have been named as the person to be assessed, you will receive an email from the Applications e-service. See the image below for an example email. You can click on the link in the email to log in to the system.



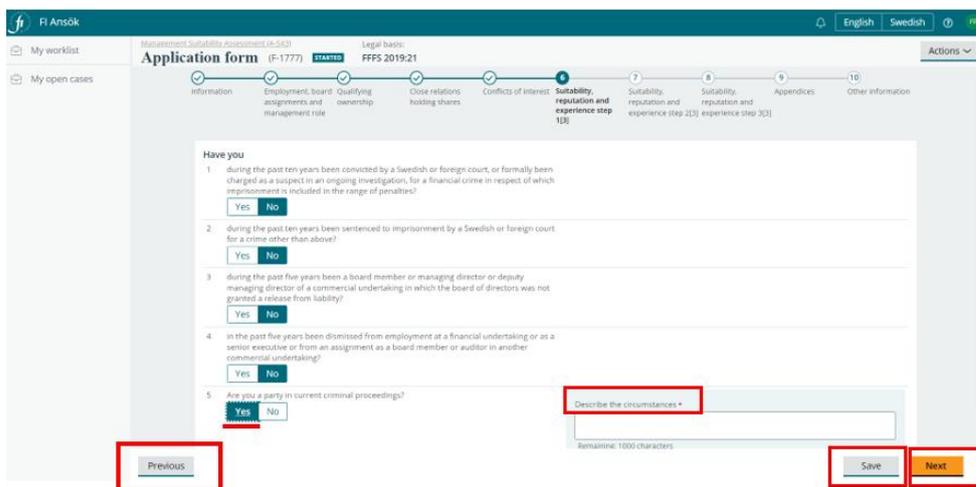
Once logged in, the first page you will see is My worklist. There, you will find the form you need to fill out (starts with an **F**). You can see the company that started the application as well what type of application it is (management suitability assessment or owner management assessment).



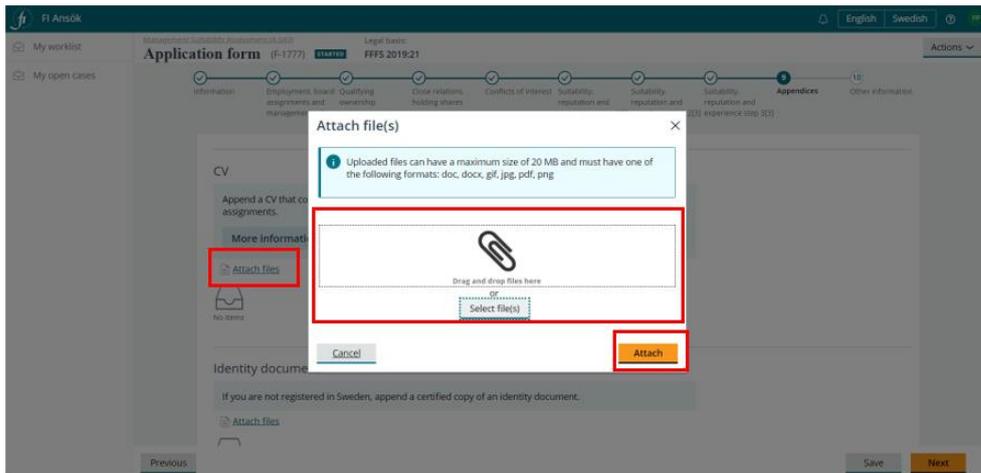
To open the form, click the line starting with the F number. The form will open. The yellow box shows which company started the application and according to which regulatory framework FI will process the case. Click **Next** to continue.



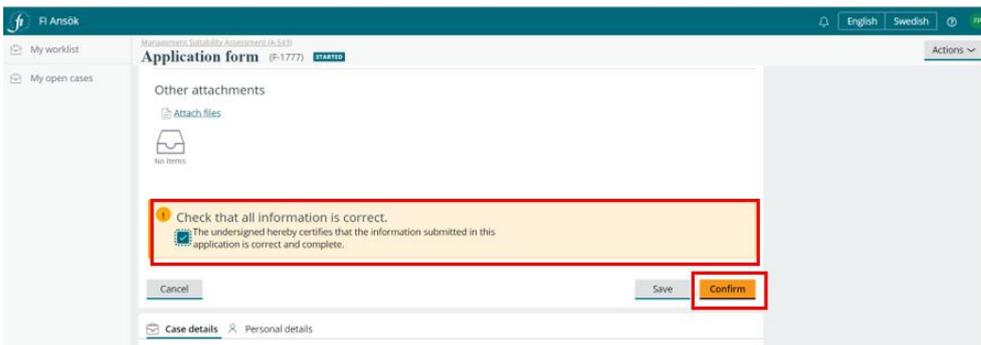
Work your way through the form by answering the questions. When you are finished, click **Confirm** or **Next**. You can leave the form and come back to it later by clicking **Save**. Click **Previous** to return to the page before. If you answer **yes** to any of the questions, you are required to add a comment describing the circumstances.



You need to attach a CV and, if relevant, additional appendices. The system will indicate when it is time to append these. Do so by clicking **Attached files**, and **Choose file(s)** or **drag and drop** the file. When you are finished, click **Attach**.



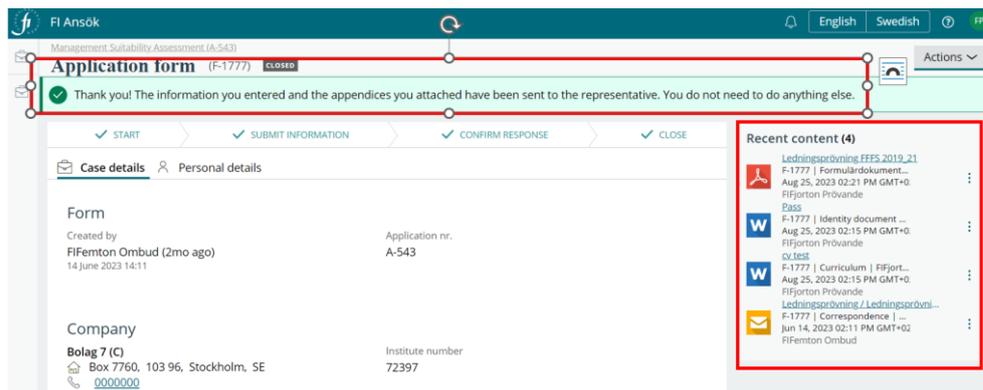
Review and confirm the information in the form before sending it back to the representative.



The form(s) you have confirmed will be listed. Click **Send to representative** to finish the task.



You will receive a message such as the one below in green from the system. On the right, you can view a list of the documents you have attached and the form you have confirmed.

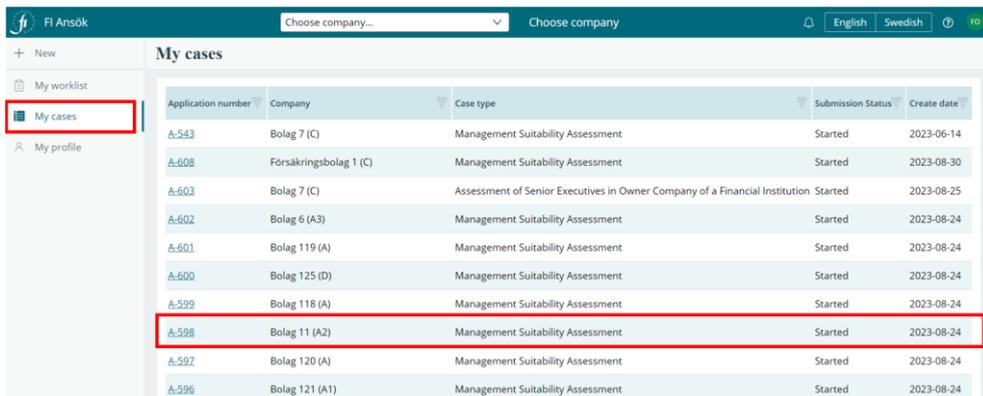


## Remove application

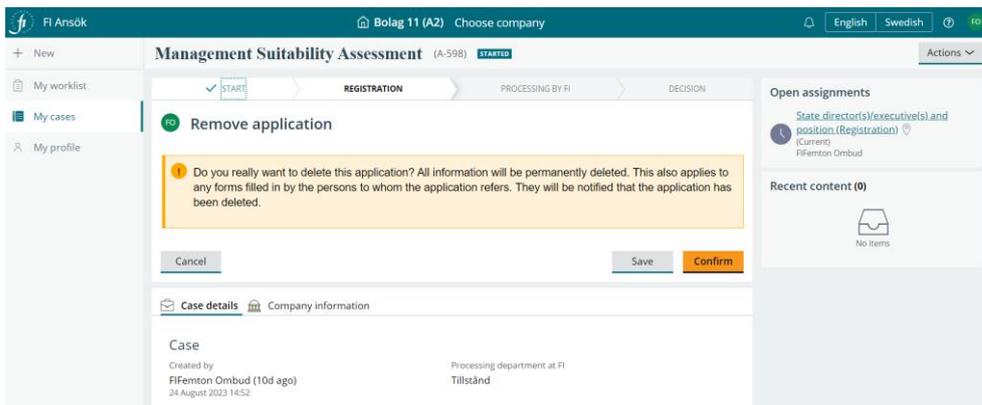
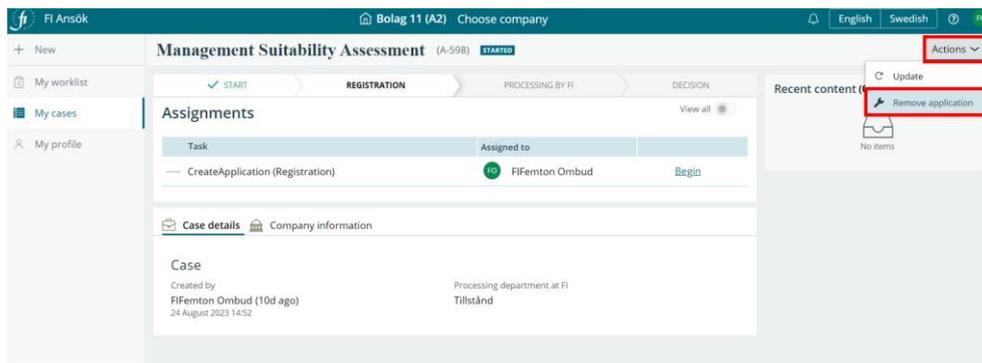
Representatives can always remove an application before it is sent to FI.

Do the following to remove an application:

- Go to **My cases**.
- Open the application you want to remove.



- Click **Actions**.
- Select **Remove application**.
- The e-service will double-check that you want to remove the application. Click **Confirm**.



The application is deleted from the system. The e-service will send an email to the director(s)/executive(s) linked to the application notifying them of the removal and that they can disregard previous emails.

Hej!

Du kan bortse från den begäran du har fått tidigare om att logga in i Finansinspektionens e-tjänst och fylla i formulär. Det ombud som påbörjade en ansökan har nu tagit bort ansökan ur e-tjänsten.

You can ignore the previous message about completing a task in Finansinspektionen's online application tool. The company's representative who created the application has now deleted the application from the e-service.

Vänliga hälsningar,  
Finansinspektionen

## Remove a director/executive from an application

Representatives can always remove a director/executive from an application that has not yet been sent to FI.

- Open the application in **My cases**.

Application number	Company	Case type	Submission Status	Create date
A-601	Bolag 119 (A)	Management Suitability Assessment	Started	2023-08-24
A-543	Bolag 7 (C)	Management Suitability Assessment	Started	2023-06-14
A-608	Försäkringsbolag 1 (C)	Management Suitability Assessment	Started	2023-08-30
A-603	Bolag 7 (C)	Assessment of Senior Executives in Owner Company of a Financial Institution	Started	2023-08-25
A-602	Bolag 6 (A3)	Management Suitability Assessment	Started	2023-08-24
A-600	Bolag 125 (D)	Management Suitability Assessment	Started	2023-08-24

- Click **Director/Executive**. You will see a list of the director(s)/executive(s) to be assessed, each of which will have a rubbish bin icon on the right. To remove a director/executive, highlight the person and click the rubbish bin icon.

Case details	Company information	Director/executive	Payment information
FIFjorton Prövande acctest114@fl.se	Form nr. F-1823	STARTED	Open
FITio Prövande acctest110@fl.se	Form nr. F-1824	STARTED	Open

The system will double-check that you want to remove the person before doing so.

**Remove applicant** ✕

Är du säker på att du vill ta bort denna prövande?

Cancel Confirm

**Note** that you will need to add a new director/executive before you can remove all those listed in an application. To remove an entire application, see page 22.

## Submit request, supplemental information, injunction

If supplemental information is required for your application, FI will inform you via the Applications e-service. The representative will receive an email

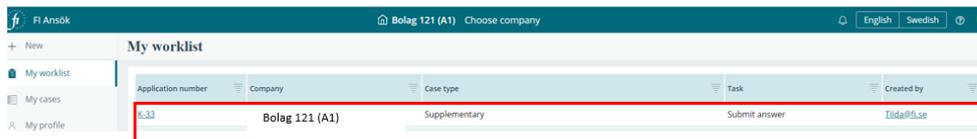
informing of the need to add supplemental information. See the image below.



You can click on the link in the email to log in to the e-service and see what information you need to add and submit to FI.

You will find requests for supplemental information/injunctions in My worklist with a **K number**. Click on the task to open it.

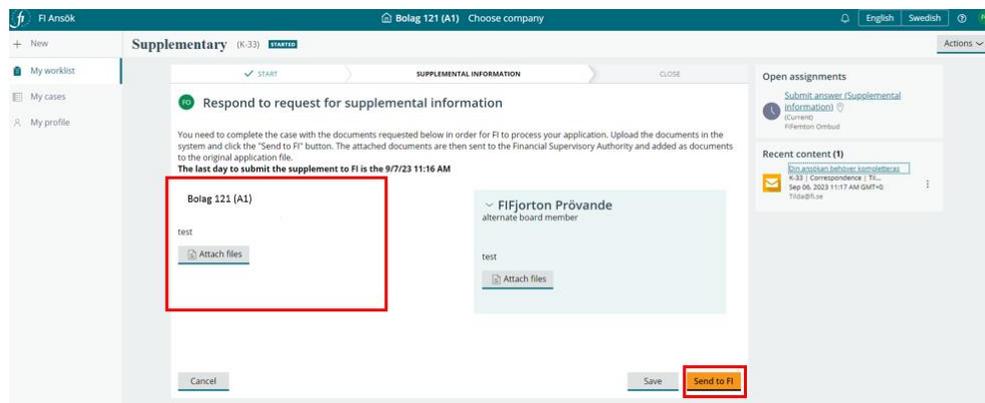
Each request for supplementary information or an injunction from an FI administrator will be designated a K number.



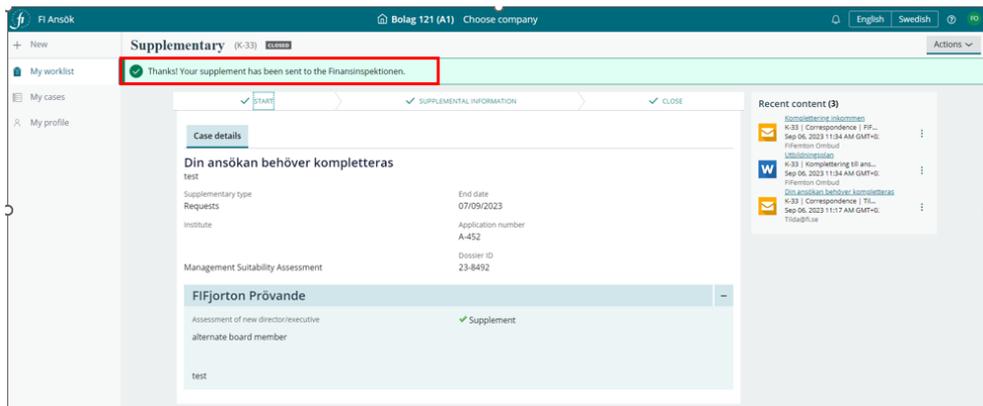
You can view what you need to add as well as the last submission date in My worklist.

Do the following to respond to the request:

- Click **Attach files** and then **Send to FI**.



A message will appear on the screen when you have completed the task.



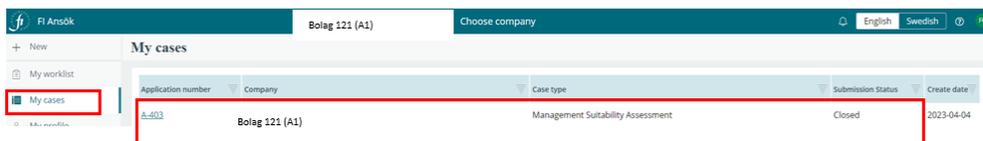
## Application decision notification

You, the representative, will receive an email from the Applications e-service when FI has made a decision in your case. The email contains information notifying you that a decision has been reached and lists the case number.



To view the decision, do the following:

- Log in to Applications to view the decision.
- Go to **My cases** and open the case indicated in the email. The status of the case will be changed to **Closed** in the e-service.



When you open the case, you can see the decision or closing letter on the right under **Recent content**.

fi FI Ansök Bolag 121 (A1) Choose company English Swedish ID

+ New Management Suitability Assessment A-403 **Case** Actions

My worklist My cases My profile Power of attorney

START REGISTRATION PROCESSING BY FI DECISION View all

Task	Assigned to	
Application form (F-1652)		Open

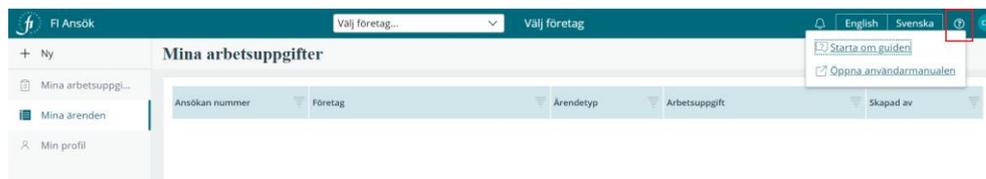
Case details Company information Director/executive Payment information

Case  
Created by: FIEVA Ombud (Simo ago)  
04 April 2023 09:47  
Riskstatus: 2021-09-10  
Processing department at FI: Tillstånd

Recent content (6)  
Slutbevis F-23-8429  
A-403 | Subbrev | Tisdag i ve...  
Sep 06, 2023 12:35 PM GMT+0:  
Tisdag@fi.se  
A-403 | Correspondence | A...  
Apr 04, 2023 09:50 AM GMT+0:  
A-403 | Formulärskönet...  
Apr 04, 2023 09:50 AM GMT+0:  
FIEVA Ombud  
A-403 | Formulärskönet...  
Apr 04, 2023 09:50 AM GMT+0:  
FIEVA Ombud  
A-403 | Formulärskönet...  
Apr 04, 2023 09:50 AM GMT+0:  
FIEVA Ombud  
A-403 | Introduction and tra...  
Apr 04, 2023 09:47 AM GMT+0:  
FIEVA Ombud  
Load more

# Help and support

You can find information about the Applications e-service in this user manual or through the automatic guide. Click on the question mark icon at the top.



You are welcome to email [support.ansok@fi.se](mailto:support.ansok@fi.se) to receive Applications support.

Please **do not send** applications, other documents or supplemental documents to the support function.

For questions regarding a case that is being processed by FI, please contact [finansinspektionen@fi.se](mailto:finansinspektionen@fi.se)