**(FFFS 2011:49)**

# Form 1b – Notification of Ownership for Registered Issuers of Electronic Money – Legal Person

**Ownership Notification – Legal Person**

A registered issuer shall provide notification in the following situations of owners who are legal persons by providing Finansinspektionen with the information in this form:

1. Where the legal person has a qualifying holding in an undertaking that is applying for exemption from the authorisation obligation to issue electronic money as a registered issuer – fill in only contact detail and the information requested in section 1.
2. Where it comes to the attention of a registered issuer that a legal person intends to acquire or has acquired a qualifying holding in the registered issuer – fill in all information in this form.

As a part of the ownership notification, Finansinspektionen collects information from e.g. 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 issue electronic money as a registered issuer or already is a registered issuer of electronic money.

The *acquirer* in this form refers to the legal owners of the undertaking applying to be allowed to issue electronic money as a registered issuer or already is a registered issuer of electronic money.

## 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:

Name of acquirer:

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

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

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## 1. Information about the acquirer

***Information about the undertaking***

1.1 Full name of the undertaking:

CIN/registration no:

Head office address:

Telephone number:

1.2. State the business of the acquirer:

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1.3. Append a registration certificate that is at the most two months old.

## Board of directors and senior executives

1.4. State board members, alternate board members, the managing director and the deputy managing director.

Name:

Personal ID number   
or date of birth:

Position on board and role:

Name:

Personal ID number   
or date of birth:

Position on board and role:

Name:

Personal ID number   
or date of birth:

Position on board and role:

Name:

Personal ID number   
or date of birth:

Position on board and role:

Name:

Personal ID number   
or date of birth:

Position on board and role:

1.5 Information about all persons listed under 1.4 must be provided in Form 1c.

## Describe the ownership chain

1.6. 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.

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## Reputation of the acquirer

* 1. State if the acquirer.:

a) during the past five years been (or still is) party to arbitration proceedings or civil or management proceedings concerning tax or business?

Yes  No

b) in the past five years been (or still is) the object of a composition or company reconstruction or an equivalent process in another country?

Yes  No

c) in the past ten years been sanctioned by any 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 its right to conduct business 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

1.8. If yes, please explain the circumstances:

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## 2. Information about the acquisition

2.1. State the size of the holding acquired by the acquirer, or that the acquirer intends 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.

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2.2. State when the acquisition occurred or the estimated acquisition date.

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2.3. State the purpose of the acquisition.

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## 3. Financing the acquisition

3.1. Specify how the acquirer intends 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.

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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.

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## Additional information

Provide any additional information to Finansinspektionen below.

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

Date:

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

Name in print

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