

*Appendix 2***Application – suitability assessment of management**

Fill in the information in the form below by checking the relevant box, or providing your response in the space provided. More detailed responses can be provided in separate appendices. See the Appendix Checklist on the last page of the form.

As a part of the suitability assessment, Finansinspektionen collects information from, for example, the Swedish Police, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority and firms that provide credit assessments.

1 General**1.1 Basic information**

State the undertaking to be assessed (including corporate identity number).

1.2 Contact information

Whom should Finansinspektionen contact about this assessment?

First name:	
Surname:	
Title:	
Undertaking:	
Address:	
Telephone number:	
Email:	

1.3 Board assignment or position in the undertaking

1. Which board assignment or position in the owner undertaking will be assessed?

- ☐ chairman of the board
- ☐ board member
- ☐ alternate board member
- ☐ managing director
- ☐ deputy managing director
- ☐ the person responsible for the payment service operations (only applies to payment institutions)

- ☐ the person responsible for the operations related to the issuance of electronic money (only applies to institutions for electronic money)

2. Have you already been subject to a suitability assessment by Finansinspektionen for another board assignment or position in the present undertaking in question or in another undertaking under Finansinspektionen’s supervision?

- ☐ Yes
- ☐ No

If you have answered yes, specify the board assignment/position and, where applicable, the other undertaking.

2 Information about the person subject to the suitability assessment

2.1 Personal information

If you are registered in Sweden – fill in the following information:

First name:	
Surname:	
Personal identification number:	
Place of birth:	
Home address:	
Telephone number:	

If you are not registered in Sweden – fill in the following information and append a certified copy of an identity document:

First name:	
Surname:	
Personal identity number or equivalent:	
Date of birth:	
Place of birth:	
Home address:	
Telephone number:	
Nationality:	
Passport number:	
Previous nationalities (if any):	
Previous name (if any):	

2.2 Employments and senior management assignments

1. Name all undertakings in which you are an appointed board chair, board member, alternate board member, managing director or deputy managing director.

Name of undertaking (incl. comp. reg. no.)	Type of business	Registered office	Board assignment or position in the undertaking

2. Specify all undertakings in which you are employed. Also state if you have more than one role in the same undertaking.

Undertaking (including corporate identity number)	Type of business	Registered office	Position

2.3 CV

Append a CV that contains relevant information about your education, work experience and other assignments. The description of your education must include the type of education (e.g., university, course provider), field of education (e.g., financial analysis), period of time, scope and educational institution. In terms of work experience, specify the undertaking, its business, your position, work duties and period of time. *Position* refers to both position and board assignments.

2.4. Qualifying ownership

1. Do you hold a direct or indirect qualifying holding or in any other way have significant influence over the undertaking for which the suitability assessment applies?

☐ Yes

☐ No

If yes, please explain.

2. Specify any other undertakings in which you hold a direct or indirect qualifying holding or in any other way have significant influence.

Name of undertaking (incl. comp. reg. no.)	Type of business	Registered office	Holding (per cent)

2.5 Close relatives with participations

1. Do you have any close relatives who own participations in the target company, or in another undertaking that in turn owns participations in the target company?

Close relative refers to a spouse, registered partner, cohabitee, child, parent or other relative with whom you share living accommodation.

☐ Yes

☐ No

2. Are there other financial ties between any close relatives and the target company or a company which owns the target company?

☐ Yes

☐ No

Financial ties refers to e.g. issued credits, guarantees and pledges.

3. If you have answered yes to any of the questions under 1 and 2, please describe the circumstances.

2.6 Conflicts of interest

In terms of the position to which the assessment refers and your other engagements, do(es) any other conflict(s) of interest arise?

☐ Yes

☐ No

If yes, describe the conflicts of interest and how they can be managed.

2.7 Reputation

1. Have you

a) in the past ten years, been convicted by a Swedish or foreign court, or formally been a suspect in an ongoing investigation, for a financial crime for which imprisonment or a suspended sentence are included in the range of punishments?

☐ Yes

☐ No

b) in the past ten years been sentenced to fines, imprisonment or a suspended sentence by a Swedish or foreign court for a crime other than that specified in 2.7.1a?

☐ 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 manager or from an assignment as a board member or auditor in another commercial undertaking?

☐ Yes

☐ No

2. Are you a party in current criminal proceedings?

☐ Yes

☐ No

3. To the best of your knowledge, have you or any undertaking in which you are or have been part of the senior management or a board member or have or have had control,

a) during the past five years been (or still are/is) party to administrative proceedings concerning tax or business, arbitration proceedings or civil proceedings (excluding family-related matters)?

☐ Yes

☐ No

b) during 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 subject to a decision from the Swedish Tax Agency imposing tax supplements, late payment fees or equivalent fines in accordance with the Tax Procedures Act, revised tax assessment or an estimated assessment?

☐ Yes

☐ No

d) been the subject of an intervention (for example an administrative fine, injunction to take action, remark, warning or withdrawal of authorisation) by a supervisory authority in Sweden or in another country?

☐ Yes

☐ No

e) 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

f) in the past ten years been the subject of a suitability assessment by a foreign competent supervisory authority?

☐ Yes

☐ No

4. If you have answered yes to any of the questions under 1–3 above, please describe the circumstances. If you answered yes to question 3f, append a copy of the decision of the foreign authority.

3 Disclosures

Submit any additional information to Finansinspektionen below.

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

Date:

.....
Signature

.....
Name in print

Checklist – documents that must be appended for suitability assessment for senior managers

The following documents shall be appended	Appended	If not appended, explain
If you are not registered in Sweden: a certified copy of an identity document in accordance with section 2.1.		
CV, as set out in section 2.3		