**FFFS 2018:15** *Appendix 2 a*

# Application/Notification – Suitability Assessment of Senior Executives and Heads of Central Functions

Fill in the information in the form below by checking the relevant box or providing your response in the space provided. Certain more detailed information may, however, be provided in separate attachments. See the Appendix Checklist on the last page of the form.

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

## 1 General

### 1.1 Basic information

State the undertaking to be assessed (including CIN)

Click here to enter text.

### 1.2 Contact details

Whom should Finansinspektionen contact about this assessment?

|  |  |
| --- | --- |
| First name: | Click here to enter text. |
| Last name: | Click here to enter text. |
| Title: | Click here to enter text. |
| Undertaking: | Click here to enter text. |
| Address: | Click here to enter text. |
| Telephone number: | Click here to enter text. |
| Email: | Click here to enter text. |

### 1.3 Position or role

Which position or role in the undertaking will be assessed?

|  |  |
| --- | --- |
| [ ]  | chair of the board  |
| [ ]  | board member  |
| [ ]  | alternate board member |
| [ ]  | managing director |
| [ ]  | deputy managing director |
| [ ]  | head of the risk management function |
| [ ]  | head of the compliance function |
| [ ]  | head of the internal audit function |
| [ ]  | head of the actuarial function\* |

\* The person responsible for the actuarial function shall also fulfil the specific terms and conditions for authorisation as set out in Chapter 9, sections 9–15.

Does the assessment refer to an employee representative?

[ ]  Yes [ ]  No

If the assessment refers to one or several central functions, is the work in the central function(s) outsourced?

[ ]  Yes [ ]  No

State whether you have already been subject to a fit and proper assessment by Finansinspektionen for another position/role in the present undertaking in question.

[ ]  Yes [ ]  No

If yes, state the position/role.

|  |
| --- |
| Click here to enter text. |

## 2 Information about the person subject to the suitability assessment

### 2.1 Personal details

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

|  |  |
| --- | --- |
| First name: | Click here to enter text. |
| Last name: | Click here to enter text. |
| Personal ID number: | Click here to enter text. |
| Home address: | Click here to enter text. |
| Telephone number: | Click here to enter text. |

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

|  |  |
| --- | --- |
| First name: | Click here to enter text. |
| Last name: | Click here to enter text. |
| Personal ID number or equivalent: | Click here to enter text. |
| Date of birth: | Click here to enter text. |
| Place of birth: | Click here to enter text. |
| Home address: | Click here to enter text. |
| Telephone number: | Click here to enter text. |
| Nationality: | Click here to enter text. |
| Passport number: | Click here to enter text. |
| Previous nationalities (if any): | Click here to enter text. |
| Previous name (if any): | Click here to enter text. |

### 2.2 Employment and assignments as a senior executive and head of central functions:

State whether you are an employee or receive consistent assignments, e.g. if you are an appointed managing director, board member or head of a central function (also state positions that refer to the current undertaking). Also, indicate if you hold several roles within the same undertaking:

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of undertaking (including CIN)** | **Type of business** | **Registered office** | **Position**  |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

### 2.3 CV

Append a CV that contains relevant information about your education, professional experience and other assignments. In terms of education, state 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 professional experience, specify the undertaking, its business, your position, work duties and period of time.

### 2.4. Qualifying ownership

1. Specify if you either directly or indirectly have a qualifying holding in the undertaking that is subject to suitability assessment or in any other way have a significant influence:

|  |
| --- |
| Click here to enter text. |

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 (including CIN)** | **Type of business** | **Registered office** | **Holding (per cent)** |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

### 2.5 Close relations with participations

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

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

[ ]  Yes [ ]  No

2. Are there other financial relationships between the above?

[ ]  Yes [ ]  No

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

|  |
| --- |
| Click here to enter text. |

##

### 2.6 Conflicts of interest

In terms of the position to which the assessment refers and your other engagements, do any other conflicts of interest arise?

[ ]  Yes [ ]  No

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

|  |
| --- |
| Click here to enter text. |

### 2.7 Reputation

1. 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 a?

[ ]  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

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 a senior executive, held another key function, or been a board member, or have or have had control over:

a) in the past five years been (or still are) party to arbitration proceedings or civil 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) 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

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

If yes, append a copy of the decision of the foreign authority.

4. Does the current suitability assessment refer to a position in an undertaking that conducts, or plans to conduct, insurance distribution?

[ ]  Yes [ ]  No

If the answer is no, explain this in the field for Question 6.

5. If the answer to Question 4 is yes, have you

a) in the past five years had debts exceeding SEK 100,000 which have been executed at the Swedish Enforcement Authority?

[ ]  Yes [ ]  No

b) in the past five years had an authorisation, registration or membership withdrawn or terminated by decision of a supervisory or governmental body or a professional or trade organisation?

[ ]  Yes [ ]  No

c) in the past five years either *i)* been part of the management team for a legal person that had an authorisation, registration or membership withdrawn or terminated by decision of a supervisory or governmental body or a professional or trade organisation or ii) been part of the management team for such a legal person within six months before the withdrawal?

[ ]  Yes [ ]  No

d) in the past five years declared an intention to relinquish, or been part of the management team for a legal person that declared its intention to relinquish, authorisation to conduct business that falls under the supervision of Finansinspektionen?

[ ]  Yes [ ]  No

e) in the past five years conducted business or been part of the management team for a legal person that conducted business that falls under the supervision of Finansinspektionen without having the required authorisation to do so?

[ ]  Yes [ ]  No

f) in the past five years conducted business, or been part of the management team for a legal person that conducted business related to insurance mediation or insurance distribution that had its authorisation withdrawn for no longer complying with the requirements to be granted authorisation or because operations subject to an authorisation obligation were not performed for a consecutive period of six months?

[ ]  Yes [ ]  No

6. If you have answered Yes to any of the questions under 1–3a above, or No to Question 4, please explain the circumstances:

|  |
| --- |
| Click here to enter text. |

## 3 Additional information

Provide any additional information to Finansinspektionen below.

|  |
| --- |
| Click here to enter text. |

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

**Person to whom the application/notification refers**

Date:

|  |
| --- |
| Click here to enter text. |

………………………………………………………………………………….

Signature

Name in print

|  |
| --- |
| Click here to enter text. |

**Authorised signatory for the insurance undertaking**

The undersigned hereby certifies that the undertaking has judged that the person to whom the application/notification refers meets the requirements imposed pursuant to the Insurance Business Act (2010:2043), Commission Delegated Regulation (EU) 2015/35 and ITS/RTSs and that the undertaking has complied with its internal suitability assessment rules.

Date:

|  |
| --- |
| Click here to enter text. |

……………………………………………………………….………………..

Signature (authorised signatory)

Name in print

|  |
| --- |
| Click here to enter text. |

# Checklist – documents to be appended to the suitability assessment of executives and heads of central functions

|  |  |  |
| --- | --- | --- |
| **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 |[ ]  Click here to enter text. |
| CV, as set out in section 2.4 |[ ]  Click here to enter text. |