

Finansinspektionen's Regulatory Code

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Finansinspektionen's regulations and general guidelines regarding currency exchange and other financial operations;

decided 12 December 2023.

FFFS 2023:22

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Finansinspektionen prescribes the following pursuant to section 12, point 1 of the Currency Exchange and Other Financial Operations Ordinance (2004:331) and provides the following general guidelines.

Chapter 1 Scope and definitions

Scope

Section 1 These regulations and general guidelines apply to natural and legal persons applying for registration of operations pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006) or for registration of a new business orientation pursuant to section 2a of the same act.

Definitions

Section 2 Terms and expressions used in these regulations and general guidelines have the same meaning as those in the Currency Exchange and Other Financial Operations Act (1996:1006).

Section 3 These regulations and the general guidelines shall consider persons holding the following positions to be part of the management of a legal person:

- limited liability company: board member, deputy board member, managing director and deputy managing director,
- economic association: board member, deputy board member, managing director and deputy managing director,
- limited partnership: partner, and
- other partnership: partner.

If the partner of a limited partnership or the partner of a partnership is a legal person, the natural persons who are members of senior management for the legal person shall also be considered to be a member of senior management for this limited partnership or other partnership.

For other legal persons, the rules and principles of association law apply to the assessment of who is considered to be a member of senior management.

Chapter 2 Application for registration

Application for registration of a business

Section 1 A natural person applying for registration of operations pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006) shall submit the data specified in sections 2–5. A legal person, when applying for registration of operations, shall provide the data specified in sections 2, 3 and 6–10.

General guidelines

Applicants should use the application form available on Finansinspektionen's website.

Section 2 A natural or legal person applying for registration of operations shall specify in their application which of the businesses pursuant to section 1, points 1 and 2 of the Currency Exchange and Other Financial Operations Act (1996:1006) the person intends to conduct.

The application shall contain a description of the business that will be conducted and how the operations will be financed.

Section 3 A natural or legal person applying for registration of operations shall append to their application the general risk assessment and the internal procedures and guidelines that the person has prepared pursuant to Chapters 2–6 of the Anti-Money Laundering and Countering Terrorism Financing Act (2017:630), and in accordance with Finansinspektionen's regulations (FFFS 2017:11) regarding measures against money laundering and terrorist financing.

Application from a natural person

Section 4 A natural person shall specify in their application their name, personal ID number, and address. If the natural person conducts business under a company name, this name shall also be specified in the application. The application shall be signed by the natural person.

Section 5 A natural person shall append the information for suitability assessment set forth in *Appendix 2*.

Application from a legal person

Section 6 A legal person shall specify in their application the legal person's company name, corporate ID number, and address of the head office. The application shall be signed by an authorised representative for the legal person.

Section 7 A legal person shall also specify in its application the natural and legal persons with qualifying holding of shares or participating interests in the legal person.

For a natural person with a qualifying holding of shares or participating interests in the legal person, the information in *Appendix 1a* shall be appended to the application. If the owner is a legal person, the information from *Appendix 1b* shall be appended.

For members of senior management in an undertaking with a qualifying holding of shares or participating interests in the legal person, the information from *Appendix 1c* shall be appended to the application.

Section 8 A legal person with a qualifying holding of shares or participating interests in the legal person who is under the supervision of Finansinspektionen or another competent authority within the EEA does not need to submit the information set out in sections 2.5.2, 2.10.1 and 2.10.2 of *Appendix 1b* unless specifically requested by Finansinspektionen.

Section 9 A legal or natural person with a qualifying holding of shares or participating interests or who is part of senior management of the legal person – and who has previously undergone an ownership assessment or management assessment by Finansinspektionen or another competent authority in the EEA – does not need to submit the information set out in sections 2.5.2, 2.10.1 and 2.10.2 of *Appendix 1b* and sections 2.3, 2.10.1, 2.10.2 and 2.10.3 of *Appendix 1a* provided that the legal or natural person certifies that the information is still valid and accurate.

If an assessment has been performed by another competent authority within the EEA, the legal or natural person shall enclose a document that proves this.

The information referred to in the first paragraph shall be submitted however if specifically requested by Finansinspektionen.

Section 10 A legal person shall append to their application information about the senior management of the legal person. The information from *Appendix 2* shall be appended for all persons who are part of senior management.

Application for registration of a new business orientation

Section 11 A natural person applying for registration of a new business orientation pursuant to section 2a of the Currency Exchange and Other Financial Operations Act shall ensure that the application contains the information set out in sections 2–4. The application shall be signed by the natural person.

An application from a legal person as referred to in the first paragraph shall include the information set out in sections 2, 3 and 6. The application shall be signed by an authorised representative for the legal person.

Exemption from requirements on submitting information

Section 12 Finansinspektionen can decide on exemption from a requirement to submit certain information pursuant to these regulations and general guidelines.

These regulations and general guidelines shall enter into force on 1 January 2024.

DANIEL BARR

Erika Österberg

Appendix 1a – Ownership assessment – natural person
Appendix 1b – Ownership assessment – legal person
Appendix 1c – Suitability assessment of senior managers in an owner undertaking
Appendix 2 – Suitability assessment of natural persons and of senior managers at legal persons

*Appendix 1a***Ownership assessment – natural person**

Fill in the information in the form below by checking the relevant box, or by 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.

Target company refers to the undertaking applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006).

Owner refers to the natural person who owns the undertaking applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006).

As a part of the ownership 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**

1. State the name of the owner (including personal ID number or equivalent).

2. State the name of the target company (including corporate identity number).

1.2 Contact information

Who should Finansinspektionen contact for issues pertaining to this assessment?

First name:	
Surname:	
Title:	
Name of the undertaking:	
Address:	
Telephone number:	
Email:	

2 Information about the owner

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:	
Email:	

If you are not registered in Sweden – fill in the following information and enclose 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 nationality (if any):	
Previous name (if any):	

2.2 Exemptions from submitting certain information

Are you citing Chapter 2, section 9 or 12 of these regulations and general guidelines as a reason for being exempt from submitting certain information?

Yes

No

If yes, please describe the circumstances.

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Is the information you submitted in the previous ownership assessment or management assessment now out of date or in some other way incorrect?

Yes No

If yes, please fill out sections 2.3, 2.10.1, 2.10.2 and 2.10.3 below.

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 position and board assignments.

2.4 Financial position

Account for your current financial position by stating

- your income from the previous and current calendar year (including the source of the income),
- your current assets and liabilities, as well as guarantee commitments, guarantees provided and other obligations, and
- whether there are other factors that affect your financial position.

2.5 Describe the ownership chain

Attach a description of the ownership chain. The description should be in the form of a schematic outline. Please include descriptive text if needed to understand the outline.

Participations shall be stated as a percentage of the issued participations. 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.

Also, list owners that in any other way have significant influence over 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.

2.6 Assignments and other ownership

1. Name all undertakings in which you are an appointed chair of the board, board member, alternate board member, managing director or deputy managing director or hold an equivalent management assignment (e.g., partner in a partnership).

Undertaking (including corporate identity number)	Type of business	Registered office	Board assignment or position in the undertaking

2. Specify all undertakings in which you are employed. Also indicate if you hold several roles within the same undertaking.

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

3. Name the undertakings in which your ownership signifies control. An owner has control over the target company if the owner directly or indirectly obtains the majority of the votes or participations. Furthermore, an owner has control over the target company if the owner is a shareholder and

– is entitled to appoint or dismiss a majority of the directors of the target company,
or

– via agreements with other owners in the target company has access to more than half of the votes for all shares or participations.

Undertaking (including corporate identity number)	Type of business	Registered office	Holding (per cent)

2.7 Close relatives with participations

1. Do you have a close relative who owns participations in the target company, or in another undertaking which 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.

2.8 Common interests

Describe any common interests you may share with other persons that can have an impact on the influence in the target company. ‘Other persons’ refers to one or more of the following:

- other shareholders,
- other parties entitled to vote,
- other persons or undertakings that although not shareholders have the ability to exercise similar influence over the target company, or
- the managing director, deputy managing director or a board member.

Common interests that can affect influence refers to e.g. shareholder agreements or other agreements concerning common action.

Yes

No

If yes, please describe the circumstances.

2.9 Conflicts of interest

Do any conflicts of interest arise as a result of the ownership in the target company?

Yes

No

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

2.10 Reputation of the owner

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 fines, 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 2.10.1a?

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. To the best of your knowledge, have you or any undertaking in which you are or have been an officer of the undertaking or a director, or have or have had control of,

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) 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) in the past ten years been subject to a decision from the Swedish Tax Agency imposing tax supplements, late payment fees or administrative fines in accordance with the Tax Procedures Act (2011:1244), 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

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

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.		
A CV as set out in section 2.3.		
A diagram of the entire ownership chain in accordance with section 2.5.		

*Appendix 1b***Ownership assessment – legal person**

Fill in the information in the form below by checking the relevant box, or by 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.

Target company refers to the undertaking applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006).

Owner refers to the legal person who owns the undertaking applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006).

As a part of the ownership 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**

1. State the name of the owner (including corporate identity number or equivalent).

2. State the name of the target company (including corporate identity number).

1.2 Contact information

Who should Finansinspektionen contact for issues pertaining to this assessment?

First name:	
Surname:	
Title:	
Name of the undertaking:	
Address:	
Telephone number:	
Email:	

2 Information about the owner

2.1 Information about the undertaking

Name of the undertaking:	
Corporate identity number or equivalent:	
Address:	
Telephone number:	
The undertaking's business:	

2.2 Exemptions from submitting certain information

Is the undertaking citing Chapter 2, sections 8, 9 or 12 of these regulations and general guidelines as a reason for being exempt from submitting certain information?

Yes

No

If yes, please describe the circumstances.

Is the information provided as part of the previous ownership and management assessment out of date or inaccurate in any way?

Yes

No

If you have answered yes, fill out sections 2.5.2, 2.10.1 and 2.10.2 below.

2.3 Registration certificate

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

2.4 Financial position

1. Provide information about the financial conditions in the owner undertaking in accordance with one of the following options:

a) enclose the most recently adopted annual report, if there is one,

b) if there is no adopted annual report for the past year, enclose a balance sheet and a profit and loss account,

c) if there is no balance sheet and profit and loss account for the past year, enclose a pro forma balance sheet and profit and loss account for the next three years.

2. If a credit rating exists, append it.

2.5 Board of directors and senior management

1. Name the undertaking's board chair, board members, alternate board members, managing director and deputy managing director or equivalent management positions (e.g., partner in a partnership).

Name	Personal ID number (or date of birth)	Board assignment or position in the undertaking

2. All persons mentioned above must fill out and sign Appendix 1c.

2.6 Describe the ownership chain

Attach a description of the ownership chain. The description should be in the form of a schematic outline. Please include descriptive text if needed to understand the outline.

Participations shall be stated as a percentage of the issued participations. 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. Also, list owners that in any other way have significant influence over 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.

2.7 Describe the group, if any

Enclose a description or diagram of

- any group, according to the definition in Chapter 19 of the Insurance Business Act (2010:2043), or
- the consolidated situation in accordance with Article 18 of Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and amending Regulation (EU) No 648/2012 or Article 7 of Regulation (EU) 2019/2033 of the European Parliament and of the Council of 27 November 2019 on the

prudential requirements of investment firms and amending Regulations (EU) No 1093/2010, (EU) No 575/2013, (EU) No 600/2014 and (EU) No 806/2014 that will be relevant after the acquisition, if applicable.

Participations shall be stated as a percentage of the number of issued participations. 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.

Also, list owners that in any other way have significant influence over the target company and the undertakings that are subject to the supervision of Finansinspektionen or an equivalent foreign authority,

For each undertaking that is part of such a group, state if it is

- an insurance holding company,
- a financial holding company,
- a mixed financial holding company, or
- an investment holding company.

Also state for each undertaking if it is

- subject to supervision by Finansinspektionen or an equivalent foreign authority, or
- not subject to such financial supervision.

2.8 Common interests

Does the undertaking have any common interests with other persons that can have an impact on the influence in the target company? ‘Other persons’ refers to one or more of the following:

- other shareholders,
- other parties entitled to vote,
- other persons or undertakings that although not shareholders have the ability to exercise similar influence over the target company, or
- the managing director, deputy managing director or a board member.

Common interests that can affect influence refers to e.g. shareholder agreements or other agreements concerning common action.

Yes

No

If yes, please explain:

2.9 Conflicts of interest

Do any conflicts of interest arise as a result of the ownership in the target company?

Yes

No

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

2.10 Reputation of the owner

1. Has the undertaking

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

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 subject to a decision from the Swedish Tax Agency imposing tax supplements, late payment fees or administrative fines in accordance with the Tax Procedures Act (2011:1244), 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 its right to conduct business 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

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

The following documents shall be appended	Appended	If not appended, explain
A certificate of registration that is at the most two months old as set out in section 2.3.		
Adopted annual report or equivalent for the most recent financial year as set out in section 2.4.		
Credit rating, as set out in section 2.4.		
Appendix 1c for all persons listed in section 2.5.		
A diagram of the entire ownership chain as referred to in section 2.6.		

*Appendix 1c***Suitability assessment of senior managers in an owner undertaking**

Fill in the information in the form below by checking the relevant box, or by 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.

Target company refers to the undertaking applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006).

As a part of the 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**

1. State the name of the target company (including corporate identity number).

2. Specify the owner undertaking (including corporate identity number) where you will be assessed as a Board member, managing director or deputy managing director or an equivalent management assignment (e.g., partner in a partnership).

3. Is the owner undertaking the owner of other undertakings under Finansinspektionen's supervision?

Yes

No

If yes, state which undertaking(s) (including corporate identity number).

1.2 Contact information

Who should Finansinspektionen contact for issues pertaining to this assessment?

First name:	
Surname:	
Title:	
Undertaking:	

Address:	
Telephone number:	
Email:	

1.3 Board assignment or position in the undertaking

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
- other (specify): _____

2 Information

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:	
Email:	

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 Exemptions from submitting certain information

Are you citing Chapter 2, section 12 of these regulations and general guidelines as a reason for being exempt from submitting certain information?

Yes

No

If yes, please describe the circumstances.

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 position and board assignments.

2.4 Reputation of the senior manager

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 fines, 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 2.4.1a?

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. 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) 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) in the past ten years been subject to a decision from the Swedish Tax Agency imposing tax supplements, late payment fees or administrative fines in accordance with the Tax Procedures Act (2011:1244), 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

3. If you have answered yes to any of the questions under 1 and 2, please describe the circumstances. If you answered yes to question 2f, append a copy of the decision of the foreign authority.

3 Disclosures

Submit any additional information to Finansinspektionen below.

Person to whom the suitability assessment refers

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

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.		
A CV as set out in section 2.3.		

*Appendix 2***Suitability assessment of natural persons and of senior managers at legal persons**

Fill in the information in the form below by checking the relevant box, or by 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**

Specify the natural or legal person applying for registration of a business (including personal ID Number or corporate identity number).

1.2 Contact information

Who should Finansinspektionen contact about this assessment?

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

1.3 Board position or role

1. If the person applying for registration of a business is a legal person, specify the board assignment or position in the undertaking to which the assessment refers.

- chairman of the board
- board member
- alternate board member
- managing director
- deputy managing director

other (specify): _____

2. Have you already undergone a suitability assessment by Finansinspektionen in another matter?

Yes

No

If you answered yes, specify the board assignment/position and in which undertaking.

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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):	
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2.2 Exemptions from submitting certain information

Are you citing Chapter 2, section 12 of these regulations and general guidelines as a reason for being exempt from submitting certain information?

Yes No

If yes, please describe the circumstances.

2.3 Employments and senior management assignments

1. Name all undertakings in which you are an appointed chair of the board, board member, alternate board member, managing director or deputy managing director or hold an equivalent management assignment (e.g. partner in a partnership).

Name of undertaking (incl. corp. identity 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

2.4 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 position and board assignments.

2.5. Qualifying ownership

1. If you have a management assignment in the legal person applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006), do you have a direct or indirect qualifying holding in or in some other way a significant influence over the legal person?

Yes

No

If yes, please explain.

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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. corp. identity no.)	Type of business	Registered office	Holding (per cent)

2.6 Close relatives with participations

1. If you have a management assignment in the legal person applying for registration pursuant to section 2 of the Currency Exchange and Other Financial Operations Act (1996:1006), are there any close relatives who own shares in the legal person, or in another undertaking, which in turn holds shares in the legal person?

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 legal person or an owner undertaking of 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.

2.7 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.

2.8 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 2.8.1a?

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

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 2.4		