



Form 1c – Registered Payment Service Providers

Suitability Assessment of Senior Executives in an Owner Company of a Registered Payment Service Provider

If a legal person shall undergo an ownership suitability assessment, the board members, alternate board members, managing director and deputy managing director of the legal person shall provide the information in this form to Finansinspektionen. This assessment is part of the ownership suitability assessment that is conducted for a legal person in accordance with Form 1b.

An assessment shall be carried out in the following situations:

1. If the legal person intends to directly or indirectly acquire a registered payment service provider and needs to apply for permission for the acquisition.
2. If the legal person has a qualifying holding in an undertaking that is applying for authorisation to provide payment services as a registered payment service provider.
3. Where a new board member, alternate member, managing director or deputy managing director is appointed or changes position or role in the owner undertaking.

As a part of the ownership suitability assessment, Finansinspektionen will collaborate with e.g. the Swedish National Police Board, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority and undertakings that provide credit assessments.

Application form

Fill in the information in the form below. Some of the information must be provided as a separate document.

Contact details

Whom should Finansinspektionen contact about this assessment?

First name: _____

Last name: _____

Title: _____

Address: _____

Telephone number: _____

Email: _____

Fax: _____

Finansinspektionen
Box 7821
SE-103 97 Stockholm
[Brunnsgatan 3]
Tel +46 8 408 980 00
Fax +46 8 24 13 35
finansinspektionen@fi.se
www.fi.se

Registered payment service provider under assessment (including CIN)?

Information about the owner company

In which owner undertaking are you a board member, alternate board member, managing director or deputy managing director (including CIN)?

Position on board and role

Which position in the board or role will be assessed?

chair of the board

board member

alternate board member

managing director

deputy managing director

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

Personal details

1. If you are registered in Sweden

First name: _____

Last name: _____

Personal ID number: _____

Address: _____

Telephone number: _____

*If you are not registered in Sweden**

First name: _____

Last name: _____

Personal ID number or equivalent: _____

Date of birth: _____

Place of birth: _____

Address: _____

Telephone number: _____

Nationality: _____

Passport number: _____

Previous nationalities (if any): _____

Previous name (if any): _____

* If you are not registered in Sweden, append a certified copy of an identity document.

CV

2. Append a CV that contains relevant information about your education, work experience and other assignments.

Reputation of senior executives

3. 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 3a?

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

4. To the best of your knowledge, have you or any undertaking in which you are or have been a senior executive or a board member or have or have had control:

a) during the past five years been (or still are/is) party to arbitration proceedings or civil (excluding family-related matters) 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) in the past ten years been sanctioned by either 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 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

5. If you have answered yes to any of the questions under 3 and 4, please explain the circumstances:

Additional information

Provide any additional information to Finansinspektionen below.

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

Date:

.....
Signature

.....
Name in print