

*Appendix 1c***Application/notification for senior management in an owner undertaking**

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.

Target company refers to the undertaking that is the object of the acquisition.

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. State the owner undertaking that you shall be assessed in as a board member, managing director, or deputy managing director (including corporate identity number).

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 questions regarding 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

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 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.

2.3 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 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 2.3.1a?

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 application/notification 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 2.2.		