# Management Suitability Assessment – Natural Person Insurance Distribution

A natural person applying for authorisation to conduct insurance distribution shall provide Finansinspektionen with the information in this appendix. The management suitability assessment is part of the application for authorisation.

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 management suitability assessment, Finansinspektionen collects information from e.g. the Swedish Police, the Swedish Companies Registration Office, the Swedish Tax Agency, the Swedish Enforcement Authority, undertakings that provide credit assessments, and, where relevant, foreign supervisory authorities.

## Basic information

### 1.1 Contact details

Whom should Finansinspektionen contact about this assessment?

First name:

Last name:

Title:

Address:

Telephone:

Email:

### 1.2 Person being assessed?

First name:

Last name:

Title:

Address:

Telephone:

Email:

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

First name:

Last name:

Personal ID number

or equivalent:

Date of birth:

Place of birth:

Home address:

Telephone:

Email:

Nationality:

Passport number:

Previous nationality (if any):

Previous name (if any):

### 1.3 Previous management suitability assessment.

Have you already been assessed by Finansinspektionen for another position/role?

Yes [ ]  No [ ]

If Yes, specify which position/role and Finansinspektionen’s reference number.

|  |
| --- |
|       |

## 2. Information about the person being assessed

### 2.1 CV

Append a CV that contains relevant education, work experience and other assignments. The CV should focus on tasks that are of merit for insurance distribution.

The description of your education shall include the type of education (e.g. university, course provider), field of education (e.g. financial analysis), period of time, scope and educational institution. The description of your professional experience shall specify the undertaking, its business, your position, work duties and period of time.

### 2.2 Employment and management assignments:

State your employment or consistent assignments, e.g. if you are an appointed managing director or board member or other senior executive in a legal entity. Also, indicate if you hold several roles within the same organisation:

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of the organisation** (including CIN) | **Type of business** | **Registered office** | **Position on board or role** |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |

##

## 3. Reputation

### 3.1 Have you

a) during 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) during the past ten years been sentenced to imprisonment by a Swedish or foreign court for a crime other than that set out in 3.1 a)?

Yes [ ]  No [ ]

c) during the past five years been a board member or managing director or deputy managing director of a legal person in which the board of directors was not granted a release from liability?

Yes [ ]  No [ ]

d) during the past five years been dismissed from employment at a financial institution or as a senior manager or an assignment as a board member or auditor in another undertaking?

Yes [ ]  No [ ]

e) in the past five years had debts exceeding SEK 100,000 which are being executed at the Swedish Enforcement Authority?

Yes [ ]  No [ ]

f) 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 [ ]

g) in the past five years either *i)* been part of the management team for a legal person who 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 [ ]

h) 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 [ ]

i) 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 authorisation to do so?

Yes [ ]  No [ ]

j) in the past five years conducted business, or been part of the management team for a legal person that falls under the supervision of Finansinspektionen and 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 [ ]

### 3.2 Are you a party in current criminal proceedings?

Yes [ ]  No [ ]

### 3.3. To the best of your knowledge, have you or any legal person 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) 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 Sweden or another country?

Yes [ ]  No [ ]

c) in the past ten years been levied with tax surcharges by either the Swedish Tax Agency or an equivalent foreign authority?

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 [ ]

If the answer to question 3.3.f is yes, append a copy of the decision of the foreign authority.

### 3.4 If you have answered yes to any of the questions under 3.1–3.3 above, please explain the circumstances:

|  |
| --- |
|       |

## 4 Conflicts of interest

### 4.1 State your position in the undertaking to which the management suitability assessment refers and any other engagements that may give rise to conflicts of interest and describe how these will be handled.

|  |
| --- |
|       |

Account in particular for whether conflicts of interest may arise that have a negative effect on the interests of the customers.

## 5 Additional information

Provide any additional information to Finansinspektionen below.

|  |
| --- |
|       |

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

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

Date:

Signature: ……………………………………………………………………….

Name in print

|  |
| --- |
|       |

# Checklist – documents that must be appended for ownership suitability assessment for natural persons

|  |  |  |
| --- | --- | --- |
| **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 1.2 |  |  |
| CV as specified in section 2.1. |  |  |