# Management Suitability Assessment – Legal Person Insurance Distribution

Persons who will be members of management, or deputies for such persons, for a legal person that is applying for authorisation to conduct insurance distribution must provide the information in this appendix. The management suitability assessment is part of the application for authorisation.

This appendix must also be provided to Finansinspektionen when submitting notification of changes in the positions mentioned above.

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 State the legal person to be assessed (including CIN)

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### 1.3 Position or role

Which position or role in the legal person will be assessed?

chair of the board of directors

board member

alternate board member

managing director

deputy managing director

other (specify):

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Does the assessment refer to an employee representative?

Yes  No

Has your suitability as a member of management already been assessed by Finansinspektionen for a different position/role?

Yes  No

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

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### 1.4 Person to be assessed

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

First name:

Last name:

Personal ID number:

Address:

Telephone:

Email:

*2. \* 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 the equivalent:

Date of birth:

Place of birth:

Home address:

Telephone:

Email:

Nationality:

Passport number:

Previous nationality (if any):

Previous name (if any):

## 2. Information about the person being assessed

### 2.1 CV

Append a CV that contains relevant information about your education, work experience and other assignments and that focuses on information that is of merit for insurance distribution.

In the description of your 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. 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:

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| **Name of the organisation.** (including CIN) | **Type of business** | **Registered office** | **Position on board or role** |
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## 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)*were a member of management 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?

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 required 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 tax surcharges by the Swedish Tax Agency or a corresponding foreign supervisory 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 fit and proper assessment by a foreign competent supervisory authority?

Yes  No

If the answer to 3.3f 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 points 3.1–3.3 above, please explain the circumstances:

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## 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.

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Account in particular for if conflicts of interest may arise that have a negative impact on the customers’ interests.

## 5 Other disclosures

Provide any additional information to Finansinspektionen below.

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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

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# Checklist – documents that must be appended management suitability assessment

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| **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 1.4 |  |  |
| CV, as set out in section 2.1 |  |  |