|  |  |
| --- | --- |
| Date: |  |

## Annex 7

# Tied agent passport notification and change of tied agent particulars notification[[1]](#footnote-1)

## Type of notification:

|  |  |
| --- | --- |
|  | Tied agent passport notification |
|  | Change of tied agent particulars notification |

## Type of company:

|  |  |
| --- | --- |
|  | Investment firm |
|  | Credit institution |

Member State in which the company intends to use a tied agent established in the host Member State:

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Name of the company:

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|  |

Address of the company:

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| --- |
|  |

Name of the contact person:

|  |
| --- |
|  |

Telephone number of the company:

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| --- |
|  |

E-mail of the company:

|  |
| --- |
|  |

Name of the tied agent:

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| --- |
|  |

Address of the tied agent:

|  |
| --- |
|  |

Telephone number of the tied agent:

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| --- |
|  |

Email of the tied agent:

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| --- |
|  |

Name(s) of those responsible for the management of the tied agent:

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| --- |
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|  |  |
| --- | --- |
| Home Member State: | Sweden |
| Authorised by: | Finansinspektionen |
| Authorisation Date: |  |

Reference or hyperlink to the public register where the tied agent is registered:

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**Intended investment services, activities and ancillary services provided by tied agent (\*)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | Investment services and activities | | | | | | | | | Ancillary services | | | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Financial Instruments | 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (\*) Please place an (x) in the appropriate box(ex). | | | | | | | | | | | | | | | | | |

**Business Plan and structural organization of the tied agent**

## Business plan

1. Explain how the tied agent will contribute to the strategy of the firm/group.

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1. Describe what the main functions of the tied agent will be.

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1. Describe the main objectives of the tied agent.

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## Commercial Strategy

1. Describe the types of clients/counterparties the tied agent will be dealing with.

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1. Describe how the firm will obtain and deal with these clients.

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## Organisational Structure

1. Briefly describe how the tied agent fits into the corporate structure of the firm/group? (This may be facilitated by attaching an organisational chart)

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1. Set out the organisational structure of the tied agent, showing both functional and legal reporting lines.

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1. Identify who will be responsible for the tied agent operations on an day to day basis. Provide details of professional experience of the persons responsible for the management of the tied agent. (Please attach CV).

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1. Identify who will be responsible for the internal control functions at the tied agent.

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1. Identify who will be responsible for dealing with complaints in relation to the tied agent.

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1. Identify how the tied agent will report to the head office.

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1. Detail any critical outsourcing arrangements.

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## Systems & Controls

## Provide a brief summary of arrangements for:

1. Safeguarding client money and assets (where applicable).

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1. Compliance with the conduct of business and other obligations that fall under the responsibility of the Competent Authority of the host Member State according to Art. 35(8) and the record keeping under Art. 16(6).

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1. Staff code of conduct, including personal account dealing.

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1. Anti-money laundering.

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1. Monitoring and control of critical outsourcing arrangements (if applicable).

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1. The name, address and contact details of the accredited compensations scheme of which the investment firm or credit institution is a member.

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## Financial forecast

1. Attach a forecast statement for profit and loss and cash flow, both over an initial period of thirty six month period.

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1. For the purposes of a change in the tied agent particulars notification, please complete only the parts of the forms relevant to the notified changes. Where changes have been made to the investment services, activities or financial instruments, the firm shall list all investment services, activities or financial instruments to be provided by the tied agent. [↑](#footnote-ref-1)