

Manual Applications e-service

1 April 2023

Contents

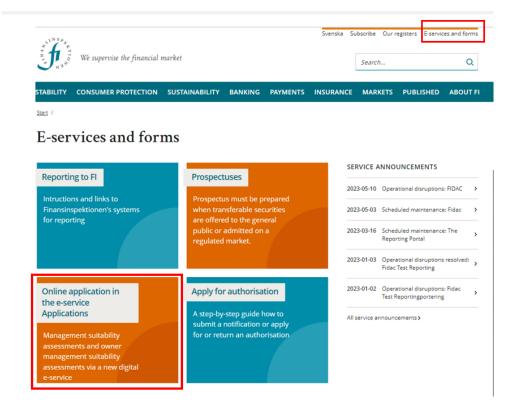
1. Manual	1
2. Applications e-service	1
3. Introduction	
Logging in	3
Authorisations	4
Windows and concepts	4
4. Create a case	
Management suitability assessment	9
Pre-fill a form as a representative	17
Owner management assessment	19
Fill out a form as the person being assessed	22
Remove application	25
Remove a director/executive from an application	26
Submit request, supplemental information, injunction	27
Application decision notification	29
5. Help and support	31

Introduction

Applications is FI's new digital e-service for applying for authorisation. In Applications, external representatives can apply for management suitability assessments and owner management assessments for the institutes they represent. Ultimately, the online tool will be expanded to include other types of authorisation.

Logging in

You can reach Applications from Finansinspektionen's website <u>https://www.fi.se/</u> by clicking "E-services and forms".



You can log into Applications in one of two capacities:

- **Representative**, that is, a person who has been authorised by an institute to create and administrate an application.
- Person being assessed, that is, the person who is being evaluated.

To log in to Applications as a representative or the person being assessed, you first need to register for a user account in Finansinspektionen's authorisation system.

To register, click here and follow the instructions: <u>https://www.fi.se/en/e-services-and-forms/register-an-account/</u>

Authorisations

To create a case (owner or management suitability assessment) in Applications, you must first receive authorisation as a **rapporteur in Applications–Authorisation** from the authorised signatory or business administrator of the company you will be representing.

Please click the following link for more information on how an authorised signatory or business administrator can grant a representative authorisation and how the company is added to the system: <u>https://www.fi.se/en/e-services-and-forms/apply-for-authorisation/online-application-in-the-e-service-applications/</u>

Once you, as a representative, have logged in to Applications, you can select your company and create a new application by clicking + New. On the first page, once logged in as a representative, you can also view your worklist, cases and profile.

The first time you log in to Applications, a guide for navigating this FI eservice will automatically pop up. You can close this guide, but it will remain available to you via the question mark icon at the top right of the page.



Windows and concepts

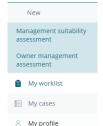
The first page of Applications will be customised to your specific authorisation profile, whether it be as a representative or the person being assessed. The Applications e-service is available in Swedish and English and it is easy to switch to the language you require. 1. The start page may look as below if you are logging in as a **representative**:



You can choose a company in the drop-down list at the top

fr Fl Ansök	Choose company	\sim	Choose company	English	Swedish] 💿
					-	

In the left-hand column, you will see the following:



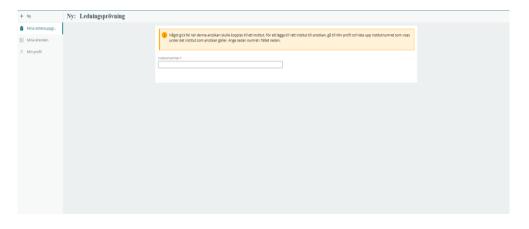
+ New: This enables you to create a new management suitability assessment application or a new owner management assessment application.

- **My worklist**: This displays a list of the open work tasks you must complete for your case.
- **My cases**: Here, you can view a list of all the cases you have created. The application number, company, case type, case status and creation date are displayed.
- **My profile**: Here you can view your contact information and the institutes you are authorised to represent. You **cannot change** your contact information in Applications. To change your contact information, log in to the authorisation system and do it there. https://portal.finansinspektionen.se/saml/authenticate/fisamlselector

Ärendetyp	Ī	Status	Skapat datum
Ledningsprövning		Inväntar betalning	2022-10-14
Ledningsprövning		Handläggning	2022-10-14
Ledningsprövning		Handläggning	2022-10-14
Ledningsprövning		Beslutad	2022-10-13
Ledningsprövning		Påbörjad	2022-10-24
Ledningsprövning		Ny	2022-10-24
Ledningsprövning		Avslutad	2022-10-24

While being processed, a case in Applications can have one of six statuses:

New means the system cannot link an application to an institute and that you need to do it manually.



Started means you have started an application but that it is not yet completed or submitted to FI.

Awaiting payment means FI has received the application and is awaiting your payment to start processing it.

Processing means that FI has received the case and has started processing it.

Decided means that FI has reached a decision on your application.

Closed means that FI has closed out the case.

2. The start page may look as below if you are logging in as the **person being assessed**:

J FI Ansök					♀ English Swedish	(?) (P)
🖻 My worklist	My worklist					
My open cases						-
My open cases	Form number	Company	Case type	😇 Task		

The following headings are displayed at the top:



- Language: Select from Swedish or English.
- **Support:** Here you will find the manual and contact information for receiving support.
- Log out

•

The following headings are displayed in the left-hand column:

FI Ansök
🖻 My worklist
🖻 My open cases

open work tasks you must complete for your case.

• **My open cases**: Here, you can view a list of all the cases you have created. The application number, company, case type, case status and creation date are displayed.

Create a case

To create new cases, you need to be logged in as a representative. You also need to have been granted authorisation by the company you will be representing to act as a rapporteur in Applications–Authorisations. For further information, see page 4.

NOTE If you are unable to **select a company** at the top of the page and + **New** does not appear on the left, you may not have the right authorisation profile. Log into FI's Reporting Portal and check your authorisation profile.



FI will send all communication regarding your case (request for supplementary information, injunction and decision or closing letter) through the Applications e-service.

Management suitability assessment

Do the following to create a new management suitability assessment:

• Select the company for which you are ordering the assessment by clicking on it in the drop-down menu.

.1834	1	
f 🖬 🛛 🕇 Fl Ansök		Choose company 🗸 🗸
+ New	My worklist	Choose company AB Affärssystems Särskilda Pensionsstiftelse AIFM Capital AB
🖹 My worklist	Application number	Alfa Laval Försäkrings AB AMIIN Capital Handelsbolag
📰 My cases	Application number $=$	Bankgirocentralen BGC Aktiebolag
8 My profile	<u>A-577</u>	Bankomat AB Bc Bolag 7 (C)
A my prome	<u>A-576</u>	Ekobanken medlemsbank Bc Euroclear Sweden AB Gräs Style Lkpg AB

- Click + New on the left and then click Management Suitability Assessment.
- Add the director/executive to be assessed.

fi Fl Ansök	Bolag 7 (C) Choose company	C English Swedish (2)
+ New	Management Suitability Assessment (A-579) STATE	Actions
My worklist My cases , My profile		Coren assignments State director(Stenearchedistand) Corrend Recent content (0) Fisition Fisition Fisition Fisition Fisition

Note that the individual(s) to be assessed in your case must also be registered in FI's Reporting Portal. They do not require authorisation. It is enough that they are registered.

• Fill in the personal identity number (for Swedish citizens) or tick **not registered in Sweden** and fill in an email address (for a foreign citizen) for the person(s) to be assessed.

f i Fl Ansök	က် Bolag 7 (C) Choose company
+ New	Management Suitability Assessment (A-579) STARTO
🖹 My worklist	START REGISTRATION PROCESSING BY FI DECISION
🗐 My cases	State director(s)/executive(s) and position
🖄 My profile	
	online application has been started, and that they will have to fill out forms to complete the application. Search person
	Search person
	mot registered in Sweden
	meji@adress.com Search
	Cancel Save Send to director/executive

The assessed person's information is displayed.

- Select either Change in position or Assessment of new director/executive.
- Select the new position(s) (several can be selected) from the options in the drop-down list. See the image below.

f	FI Ansök	ش Bolag 7 (C
+	New	Management Suitability Assessment (A-579) STARTED
8	My worklist	not registered in Sweden
E	My cases	Email address acctestfi14@fi.se Search
8	My profile	
		First name Last name FIFjorton Prövande
		Email address acctestfi14@fi.se
		What is the application for?
		Assessment of new director/executive
		Does the assessment refer to an employee representative?
		If the assessment refers to one or several central functions, is the work in the central function(s) outsourced?
		New position (multiple selections possible)
		board member × V
		head of the actuarial function head of the internal audit function head of the compliance function
		head of the risk management function chair of the board
		alternate board member managing director
		deputy managing director

• Click + Add as director/executive. The selected director/executive and position(s) are displayed on the right.

Manag	ement Suitability	Assessment	(A-579) STARTED		
	✓ not registered in Swi	eden			
	Email address				
	acctestfi14@fi.se		Search		
	First name	Last name			
	FIFjorton	Prövande			
	Email address acctestfi14@fi.se				
	What is the application for?	f director/executive			
	 Assessment of new 				
	Does the assessmen	fers to one or severa	l central functions, is		
	New position (multiple selec				
	board member × deputy	managing director \times	~		
	+ Add as director/exec	utive			
	Cancel			Save	Send to director/executive

f Fl Ansök	ඛ Bolag 7 (C) Choose company	
+ New	Management Suitability Assessment (A-579)		
My worklist My cases A My profile	Add the persons that you wish to include in the suitability asse director/executive button, an e-mail will be sent to the perso and that they will have to fill out forms to complete the applica Search person	ssment, as well as their position ns that were added, stating that	
	ont registered in Sweden	Director/executive	
	AAAAAMMDDXXXX Search	Search FIFjorton Prövande	Delete New position
		acctestfi14@fi.se Assessment of new	board member
	Cancel	director/executive	deputy managing director Save Send to director/executive

You can add additional director(s)/executive(s) by typing in each person's personal identity number or email address and then clicking on + **Add as director/executive**.

fi Fi Ansök	Bolag 7 (C) Choose company
+ New	Management Suitability Assessment (A-579) (TAND
My worklist	START REGISTRATION PROCESSING BY P DECISION
🗐 My cases	State director(s)/executive(s) and position
A My profile	Add the persons that y with include in the suitability assessment, as well as their position. When you click the Send to director/executive butsol, an e-mail will be sent to the persons that were added, stating that an online application has been started, and that they will have to all out forms to complete the application.
	Search person
	accessf@dfi.se Search Filiperton Prövande
	First nerve Last nerve accent?14@1.se
	Richard Kain Assessment of new deputy managing director
	Email address director/executive deputy managing director accrest/98/fi.se
	Accessinguinae Accessin
	+ Add as director/executive
	Cancel Save Send to director/executive

When you have added all directors/executives, click **Send to director/executive**. The system will then automatically send an email to each person being assessed that explains the need to log in to the system.

The system will automatically adapt the form based on the regulations that apply for the operations the applying company registered with FI. If it is a matter of several authorisations, the person being assessed may need to fill out multiple forms. You, the representative, also need to append the documents required by the regulatory framework. The system shows what you need to append when you reach **Other information**. See the example below.

🕤 FI Ansök		Bolag 7 (C) Choose company	
+ New	Management Suitability Assessment	(A-579) \$\$\$4\$\$\$	
 My worklist My cases 	0	Other information	Other information (Registration) Origonation Convention Fifemon Ombud Application form (F-1810) Popen
My cases 8 My profile	C	consolidated competencies of the Board	Character information about assessmens ♥ Rishard Kain
		Please download, fill in and attach the following form: Ansshan/anmalian styrelisens samlade komporters. bilage 2 b	 Application form (F-1809) P Open
		Läs mer +	assessment ♥ Rijorton Provende
		Attach files	Recent content (0)
	É		No Items
	C	ertificate from an authorized signatory	-
		Rtach a certificate that the undertaking has judged that the person to whom the application/notification refers meats the requirements imposed pursuant to the Businesk Ard (2019/42) on occupational persons companies and the Financial Supervisory Authomy's regulations (#FSS 2019/21) on accupational person companies. The certificate must also have the date, signature of the automored Symptow (Selfaction of Integration).	
		Attach files	
	É		
	0	ther information	-
		Submit any additional information to Finansinspelsionen here.	
		Attach files	
FI Ansok New My workliss My cases My profile	Management Suitability A	Bolag 7 (C) Choose company ssessment (4-579) Other information Consolidated competencies of the Board Piesse download, fill in and attach the following form:	
		Anskenitemilen storetens samlade komosens Siler 2.b	d must have one of
		Attach a certificate Prom an authority Attach a certificate bac the under Attach a certificate bac the under Attach a certificate bac the under Attach files Attach files Attach files No tach Other information	Attach
		Submit any additional information to Finansinspektionen here.	

• Attach appendices by clicking on **Select file**(s) or by dragging and dropping them in the **Drag and drop files here** box.

You, the representative, need to wait until the person being assessed fills out, confirms and sends the form back to you via the system. You can also pre-fill the form for the person being assessed. Do so by filling it out in advance. See page 14. When the person being assessed has filled out and confirmed the form, you, the representative, will receive an email notifying you that you have a task to complete in Applications. When you log in, you will find the open application among your work tasks. Click on the application to open it and continue.

f Fl Ansök					D English Swedish	0 🙂
🖻 My worklist	My worklist					
My open cases						
	Form number	Company	😇 Case type		Task	_
	F-1809	Bolag 7 (C)	Management Suitability Ass	essment	Show information about assessment	

You can always add director(s)/executive(s) while preparing the application, that is, **before submitting it to FI**. To do this, click **Actions** on the right and select + **Add director/executive**. You are not permitted to add <u>directors/executives after you have sent in the application to FI</u>. Click **Next** to continue with your application.

🕤 Fl Ansök	Bolag 116 (A) Choose company	🗘 English Swedish 🕐 🔨
+ New	Management Suitability Assessment (A-564)	Actions ~
My worklist My cases Ny profile	START REGISTRATION PROCESSING BY R DECISION Other information	C Update C Update 1 Add director/executive 1 Add director/executive 1 Add director/executive 1 Add director/executive 2 Add director/executive 3 Add director/executiv
	Consolidated competencies of the Board + Other information -	Show information about assessment © Flipoton Provande ExCorrespondence © Administrator
	Submit any additional information to Finansinspektionen here,	Recent content (0)

You can select either bank giro, invoice or e-invoice.

• Send to FI. The application is submitted to FI. You can monitor the status of your case by clicking **My cases** in the menu on the left.

🗸 START	REGISTRATION	PROCESSING BY FI	DECISION
Choose meth	od of payment and subm	it	
Payment method *			
Bankgiro Invoice		Fee	
E-invoice		Bolag X	15,000.00 SEK
		Total	15,000.00 SEK
Invoicing address	Other invoicing address		
Company name	CIN		
Bolag X 554	4455-5566		
Box 7060	103 86		
STOCKHOLM			
Country			
SC			
Reference			
	irmed that the invoice information is co nformation, select "Other invoicing add		
Payment method	I		
Invoice			
	via mail to the address stated below.	sion of depired and the encoder source he	contracted with
	before we can begin handling the appli	eing submitted, and the payment must be cation.	registered with
Cancel			Save Send to FI

If you pay the fee via **bank giro** you, as a representative, can download the payment document. This document contains information on the bank giro number, fee, OCR number, case number, the company the case applies to and the company's ID. To download the document, you must first **submit the case to FI**.

- Open the **My cases** tab and the case you want to retrieve the document for.
- Click Payment information and select **Skriv ut underlag** [**Print document**].
- Select Skriv ut underlag [Print document].

7	✓ ST	ART V REGISTRATION PROCESSING BY FI DECISION	ç
	🖻 Case details	Company information	
	Payment of	f fee via Bankgiro Skriv ut underlag	
	Applications	Management Suitability Assessment	
	Application nr.	A-554	
	Inkommen datum	06/15/2023	
5	Company	Bolag X	d
Ĭ	CIN/Company ID	<u>554455-5566</u>	Ī
	Avgift	15000	
	Bankgiro	818-3790	
	OCR	8035399105863	
	must paid no la	be made to Bankgiro using the OCR stated above as reference. The fee ster than 30 days of the application being submitted, and the payment ered with Finansinspektionen before we can begin handling the	

• Save as a PDF or print.

Note that the fee must paid within 30 days of FI having received the application. We reserve the right to reject your application if the payment is not registered with FI within 30 days.

The status of cases submitted to FI is changed to Awaiting payment.

FI Ansok	Bolag X	Choose company		4	English	Swedist	1 O
- New	Management Suitability Assessment (A-554)	AWACTING PAYMENT					Actions
					and the local		6 . 35
My worklist	Thank you! Your application has been sent to Finansinspektione status of your application in this portal.	n. We will begin processing the a	ipplication after the fee	e has been paid. You	i will be kept	c informed	about the

+ New	My cases					
My worklist My cases	Application number	Company	Case type	Ŧ	Submission Status	Create date :
8 My profile	A-554	Bolag X	Management Suitability Assessment		Awaiting payment	2023-06-15
A my prome	A-579	Bolag 7 (C)	Management Suitability Assessment		Started	2023-08-08
	A-576	Bolag 121 (A1)	Management Suitability Assessment		Started	2023-07-19
	A-577	Bolag 117 (A)	Management Suitability Assessment		Started	2023-07-19

Once the payment has been received, FI will change the case status to **Processing**. You can view the status of the payment by clicking **Payment information** in the case.

Case details 🚊 Company inf	formation 🖄 Director/executive	S Payment information	
Payment method			
	the address stated below. 30 days of the application being subn nspektionen before we can begin har		
Payment status			
Expected amount			15,000.00 SEK
Received payment	2023-05-09		15,000.00 SEK

You can also view the handling time for the case by clicking on **Case details**.

Case details 🛱 Company information	A Director/executive 🕼 Payment information
Case	
Created by FIFemton Ombud (3mo ago) 09 May 2023 13:14	Processing department at FI Tillstånd
Riktdatum 2023-07-08	

Pre-fill a form as a representative

Representatives can pre-fill a form for the person being assessed. You do this by first clicking **Send to director/executive**. See below.

fr Fi Anso		🔂 Bolag 9	(A) Choose company	
+ New	Management Suitability Assessment (A-557)			
My worki	st.	State meistration State director(s)/executive(s) and posit		Open assignments State director/si/executive/si and
冬 My profile		Add the persons that you wish to include in the suitability a	ssessment, as well as their position. When you click the Send to risons that were added, stating that an online application has been started,	costion (Bestivitation) © Fremson Donbud Recent content (9)
		Search person		No items
		in of registered in Seeden Socie storby functie MAAnvopcoox Search	Director/executive	
		Cancel	Save Send to director/executive	
		Case (Created) Fifeman Onbud (Ime ago) 27/me 2021 544	Processing department at R TriftedAnd	

• Click the **Director/executive** icon and **Open** to start pre-filling the form for the director/executive selected.

fi Fi Ansök	Bolag 9 (A) Choose company
+ New	Management Suitability Assessment (#-557) Emma
My worklist	There is nothing more you need to do right now with this application. When the directors/seexcutives that will be assessed have filled in all of the form: Rule be able to complete the application and send it to FL
My cases	V START ARGSTRATO
R My profile	🕑 Case details 🚔 Company information
	PErfortion Provande From in: Case of the second se
∫I) FI Ansök	Bidug \$14) Choice company
∫1) FI Ansök + New	
+ New	
+ New Myworklist	© Bolag \$14] Choose company Annagement Suitability Assessment (№55) mmm
al a constant	State 91(4) Contract company Management Suitability Assessment (4:57) There is nothing more you need to be right now with the application. When the directors because that will be assessed have filted in all of the forms, you will be able to complete the application and send it to it.

• Click **Begin**.

fr Fl Ansök		🙆 Bolag 9 (A)	Choose company		
+ New	Application form (F-1812)				
My worklist		SUBMIT INFORMATION	CONFIRM RESPONSE	cLOSE	Recent content (1)
My cases		Assignments		Vewal 0	Edministration / Management Su F-1812 Correspondence Aug 11, 2023 03:31 PM GMT+0.
A My profile		Task	Assigned to		FiFernton Ombud
		Påbörja formulär (Submit information)	FIFjorton Prövande	Begin	
		Case details 🖇 Personal details 🚯 Form			
		Form			
		Created by	Application nr.		
		FiFemton Ombud (2m ago) 11 August 2023 15:31	A-557		
		Company			
		Bolag 9 (A)	Institute number 35204		
		Auktoriserad AIF-förvaltare			
		Fondbolag (PPE 20133 4 5472 (FOND)			

You are taken to the first page of the form. Here you see the details of the institute the application applies to and against what regulatory framework it will be assessed.

• To start filling out the form, click **Next**.

f HAI			ි Bolag 9 (A) Choose company	
+ New	Massement Suitability Assessment (5-557) Application form (F-1812)			
My wor	rkist	SUBNITING	ORMATION CONFIRM RESPONSE CLOSE	Open assignments
E My cas	es	Information about assessment		Show information about assessment (1) (Submit information)
名 My pro	file			(Current) Rifjorten Prövende
		Bolag 9 (A) has started an application for a m can submit the application to Finansinspektion	anagement suitability assessment. You will need to fill out some forms before the ba	Recent content (1)
		Management Suitability Assessm	ent (FFFS 2013:9 6 kap. (fond), LAIF: 3 kap. 10 §)	Ladonorepodonice / Manarementido - 1972 / Contespondence
		The forms contain questions about your empi will also need to attach a CV and. If relevant. Finansinspektionen until the entire application	syment and assignments, qualifying ownership, conflicts of interest and reputation. V additional appendices. The information provided in these forms will not be available is submitted by Bolag 9 (A).	lou to
		Cancel	SaveNex	
		Case details 🕺 Personal details		
		Form		
		Creases by PiFernton Ombud (3m ago) 11 August 2023 15:31	Application nr. A-557	
		Company		
		Bolag 9 (A) Salat Auktoriserad AlF-förvaltare	Institute number 35204	
		Fondbolag 1775 2416 1 6 444, (2018)		

'Personal details' shows the information from FI's authorisation system that is registered about the person being assessed.

• Fill in any missing information and click **Confirm**.

JI FLAnsok		(j) Bola	(j) Bolag \$ (A) Choose company					
+ New	Application form (F-1812)							
My worklist		V 17487 SUBMIT INFORMATIO		LOSE Open assignments				
副 My cases 凡 My profile		Personal details Hijerten Prévande <u>estetioneurs aussie</u> Watter exploracións for? Assessment of new director/newcutve	⊖accestiis@fi.as	Conform and consider information Control information Prevence Ontol Recent Content (1) ATEL (Constanting) ATEL (Constanting) A				
)		here passion • data of the based Personal O number or equivalent Teat Personal Control of the control of th	Dates of factors 01/05/1970 Pilea of Dates Net	Filenan Ontor				
		Current relationality Bratish indian Ocean Territory (the) Periodic reformation	×					
		AGGTIPES. Binet obtens Testgatan 1 County NY	Postal code 12245 City Test					
		Cancel	5ave	Confirm				

Work your way through the form by answering the questions and clicking **Next**. As a representative, you can also attach the appendices the system requires, such as a CV and an identity document.

Once you have filled out everything you can as a representative, the system will show the message below. The director/executive must now log in to the system and confirm the information for you to be able to proceed with the case.

🕤 Fl Ansök	🙆 Bolag 9 (A) Choose company							
+ New	Application form (F-1812)							
My worklist	There are no more tasks for you to complete in this case at this time.							
My cases		START	CONFIRM RESPONSE CLOSE	Recent content (2)				
A My profile		Case details A Personal details A Person Form Created by Thermicin block (film ago) 11 Append 1001 (film ago)	Apphantan nc. A 837	Altifications of the second se				
		Company Boleg 9(A) % M2 Auktoriserad AIF-fonultare (MARCHAT) Fondboleg (773 material page)	Institute number 35204					

Owner management assessment

Do the following to create a new owner management assessment:

- Select the company for which you are ordering the assessment.
- Click + New, select owner management assessment.

🕤 Fi Ansök		Choose company	✓ Choose company		English Swedish	0
+ New	My worklist					
My worklist My cases	Application number	Company	🐺 Case type	🐺 Task	🚃 Created by	
A My profile						

f Fl Ansök			Bolag 7 (C) Choose c	ompany		🗘 English Swedish	
New	My worklist	_	Owner company				
Management suitability							
assessment	Application number	Company		Case type	🐺 Task	Created by	
Owner management assessment							
My worklist							
My cases							
My profile							

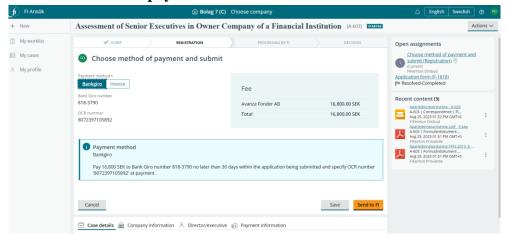
- Type the corporate identity number (without hyphens) for the institute(s) under Finansinspektionen's supervision that is/are a target company(ies). Click **Retrieve**.
- Click **Add target company**. The target company is displayed on the right. You can add multiple target companies.
- When you are finished, click Next.

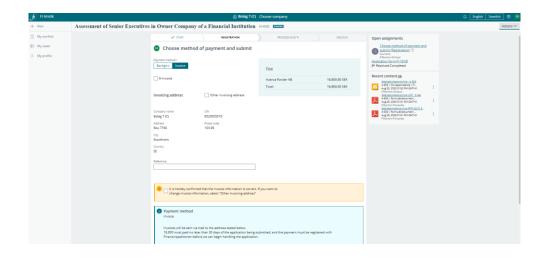
fl Ansök	Bolag 7 (C) Choose company	🗘 English Swedish 🕐 🔞
+ New	Assessment of Senior Executives in Owner Company of a Financial Institution (4-603)	Actions ~
 My worklist My cases λ My profile 		Open assignments State Insuratial formation to which the Weither State Insuration (State State
FI Ansok H Ansok New My worklist My cases My profile	Bolag 7(C) Choose company Assessment of Senior Executives in Owner Company of a Financial Institution (A-603) State State Meditianon Meditianon Meditianon State financial firms to which the assessment refers	C English Swedish ♥ ♥ Actions ✓ Open assignments State financial firms to which the tourned tourned
U wy Mollie	State the firm to which the assessment refers. You can only specify financial firms subject to FT's supervision. Target company Avanza Fonder A8 SoleA3531 Bettinee SoleA3531 Bettinee	Fifemion Onbud Recent content (9)

- Fill in the personal identity number (for Swedish citizens) or tick **not registered in Sweden** and fill in an email address (for a foreign citizen) for the person(s) to be assessed.
- Fill in the form. See the instruction on management suitability assessments in the section above.

f Fl Ansök	🝙 Bolag 7 (C) Choose company	🗘 English Swedish 🕥 😰
+ New	Assessment of Senior Executives in Owner Company of a Financial Institution (A-603)	Actions \sim
My worklist My cases My profile		Open assignments State director(s)/executive/s) and Condition (Respiration) (*) Preventon Ombud Recent content (9) Ko tams
	accted1149€se Search Cancel Save Send to director/executive Cancel Cancel	

- When you are finished with the form, click **Next**.
- Choose a method of payment and send it in to FI.





Fill out a form as the person being assessed

Before a company under FI's supervision, or an owner of that company, can send in an application for an owner and/or management suitability assessment, you, the person being assessed, need to fill out one or more forms. The forms contain questions about your employment and assignments, qualifying ownership, conflicts of interest and reputation. You will also need to attach a CV and, if relevant, additional appendices.

When an application has been started by a representative in which you have been named as the person to be assessed, you will receive an email from the Applications e-service. See the image below for an example email. You can click on the link in the email to log in to the system.

Ledningsprövning / Ledningsprövning - Ärendenummer (A-223)	
Atok Bion Feb	← Svara ≪ Svara alla → VidambaFordra ens 2023-08-08 1605
Haji	
Ett företag under Finansinspektionens tillsyn har påbörjat en digtal anskan om prövning av ledningsperson. Innan företaget kan skicka in anskkan till Finansinspektionen behöver du fylla i ett eller flera formular. Formularen innehålter frågor om anstallnings ansends. Du behöver också birloga an mentförteckning och eventuellt fler bilagor.	och uppdrag, kvalificerat ägande, intressekonflikter och
Logga in via nedanstlende länk för att utföra dina uppgöfter.	
Logal In 1Fix e tainst for anothingar	
Observera att det inte går att svara på detta meddelande. Om du har frågor, kontakta <u>support ansok @fi se</u> .	
A company that it subject to Financinpektonen's supervision has started an online application for a management suitability assessment. You will need to fill out some forms before the company can submit the application to Financinpektonen. The forms ca assignments, qualifying ownership, coefficts of interest and reputation. You will also need to attach a CV and, if relevant, additional appendices.	ntain questions about your employment and
Please log in via the link below to fill out the forms.	
Logga in 1 Fis e tjänst för ansolivingar	
Please note that it is not possible to respond to this email. If you have any questions, please email <u>support answell*Iss</u> .	
Alfed visini ghaloning,	
Pransinspektoren	

Once logged in, the first page you will see is My worklist. There, you will find the form you need to fill out (starts with an \mathbf{F}). You can see the company that started the application as well what type of application it is (management suitability assessment or owner management assessment).

JI Ansök				🗘 English Swedish 🕑 🤫
My worklist	My worklist			
My open cases				
	Form number	Company	🐺 Case type	🐺 Task
	F-1777	Bolag 7 (C)	Management Suitability Assessment	Show information about assessment

To open the form, click the line starting with the F number. The form will open. The yellow box shows which company started the application and according to which regulatory framework FI will process the case. Click **Next** to continue.

f Fl Ansök		🗘 English Swedish 🕑 🕮
My worklist	Manusement Satisfity Assessment 16-5630 Application form (F-1777) STATED	Actions \sim
My open cases	start submit involution configures/onse configures/onse configures/onse configures/onse configures/onse	Open assignments Show information about assessment (Current FUDEND Provinge
	 Bolag 7 (C) has started an application for a management suitability assessment. You will need to fill out some forms before the bank can submit the application to Finansinspektionen. Management Suitability Assessment (FFFS 2019:21) The forms contain questions about your employment and assignments, qualifying ownership, conflicts of interest and reputation. You will also need to attach a CV and, if relevant, additional appendices. The information provided in these forms will not be available to Finansinspektionen until the entire application is submitted by Bolag 7 (C). 	ExCortespondence Ammostrator Recent content (1) Entrational Listinisations First Correspondence - Fir
	Cancel Save Next	
	Case details & Personal details	

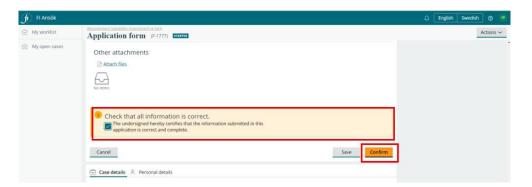
Work your way through the form by answering the questions. When you are finished, click **Confirm** or **Next**. You can leave the form and come back to it later by clicking **Save**. Click **Previous** to return to the page before. If you answer **yes** to any of the questions, you are required to add a comment describing the circumstances.

f Fl Ansök								۵	English	Swedish	0 📀
My worklist	Application	form (F-1777)	Legal basis: FFFS 2019:21								Actions ~
My open cases	Informati		Qualifying Oose relat ownership holding sh		Suitability, reputation and experience step 1[J]	7 Suitability, reputation and experience step 2	Suitability. reputation and 3) experience step 3(3)	9 Appendices	Other Inf	ormation	Í
		during the past ten years bee	en convicted by a Swedish or fo igoing investigation, for a finar the range of penalities?								
	2 during the part ten years been sentenced to imprisonment by a Swedish or foreign court for a crime entry that above? Yes No										
	in the past five years been disinised from engloyment at a financial undertaking or as a serior executive or from an assignment as a board member or auditor in another commercial undertaking? Ves No										
	5	Are you a party in current cri	minal proceedings?			e circumstances *					
	Previous				Remainine	1000 characters			Save		Next

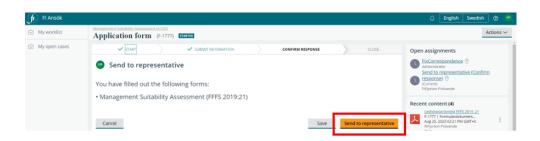
You need to attach a CV and, if relevant, additional appendices. The system will indicate when it is time to append these. Do so by clicking **Attached files**, and **Choose file(s)** or **drag and drop** the file. When you are finished, click **Attach**.

Wy orderica Marganetica and parameter and all parameter (Fig. 2010) Land table Production form (Fig. 2010) Accord Image: My orgen cardes Image: Marganetica and parameter and all parameter and param	fi Fi Ansök						English Swedis	h 🕜 🖷
C/V Attach file(s)	😑 My worklist							Actions ~
the following formats: doc. doc. gdf. jpg. pdf. png append a CV that co append appen	My open cases	idheriator Employe assgrea marage	Attach file(s)	tions. Conflicts of Viterest Solid-Unity, areas. regulation a	Substituty reputation and X	Suitability Appendices reputation and		
Identity docume		Append a CV that assignments. More inform Attach files	the following formats: d	oc. docx, gif, jpg, pdf, png				
Previous Save Next		If you are not reg	ne.	d copy of an identity document.	Attach			

Review and confirm the information in the form before sending it back to the representative.



The form(s) you have confirmed will be listed. Click **Send to representative** to finish the task.



You will receive a message such as the one below in green from the system. On the right, you can view a list of the documents you have attached and the form you have confirmed.

fı	FI Ansök	0-		ے English Swedish ر	FP
ĵ	Management Suitability Assessment (A-543) Application form (F-1777) CCOSED			Actions >	-
Ĩ	Thank you! The information you entered and the application of the second sec	pendices you attached have been sent to th	he representative. You do not	need to do anything else.	
Ū		CONFIRM RESPONSE	✓ CLOSE	Recent content (4)	1
	Case details			Ledningsprövning FFFS 2019_21 F-1777 Formulardokument Aug 25, 2023 02:21 PM GMT+0: FIFjorton Prövande	
	Form			Pass	
	Created by	Application nr.		Aug 25, 2023 02:15 PM GMT+0: FIFiorton Prövande	1
	FlFemton Ombud (2mo ago) 14 june 2023 14:11	A-543		CV.test F-1777 Curriculum FIFjort Aug 25, 2023 02:15 PM GMT+0. FIFjorton Prövande Ledningsprövning / Ledningsprövni	
	Company			F-1777 Correspondence Jun 14, 2023 02:11 PM GMT+02	1
	Bolag 7 (C) Box 7760, 103 96, Stockholm, SE <u>0000000</u>	Institute number 72397		FIFemton Ombud	l

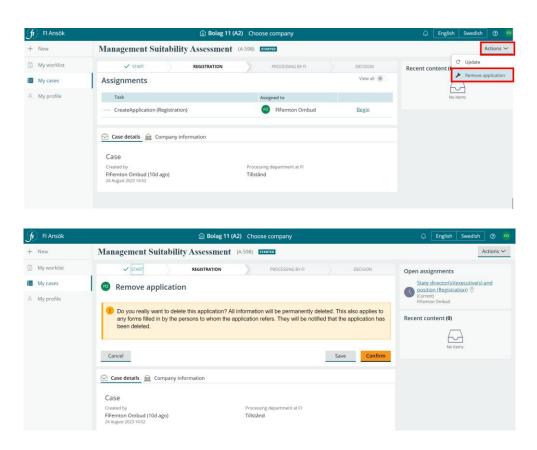
Remove application

Representatives can always remove an application before it is sent to FI. Do the following to remove an application:

- Go to My cases.
- Open the application you want to remove.

f Fl Ansök		Choose company	×	Choose company	↓ English !	ōwedish 🕐 🏾
+ New	My cas	es				
 My worklist My cases 	Applicatio	on number	😇 Case type		🐺 Submission Statu	S Create date
A My profile	<u>A-543</u>	Bolag 7 (C)	Managemer	nt Suitability Assessment	Started	2023-06-14
My prome	<u>A-608</u>	Försäkringsbolag 1 (C)	Managemer	nt Suitability Assessment	Started	2023-08-30
	<u>A-603</u>	Bolag 7 (C)	Assessment	of Senior Executives in Owner Company of a	Financial Institution Started	2023-08-25
	<u>A-602</u>	Bolag 6 (A3)	Managemer	nt Suitability Assessment	Started	2023-08-24
	A-601	Bolag 119 (A)	Managemer	nt Suitability Assessment	Started	2023-08-24
	<u>A-600</u>	Bolag 125 (D)	Managemer	nt Suitability Assessment	Started	2023-08-24
	<u>A-599</u>	Bolag 118 (A)	Managemer	nt Suitability Assessment	Started	2023-08-24
	<u>A-598</u>	Bolag 11 (A2)	Managemer	nt Suitability Assessment	Started	2023-08-24
	<u>A-597</u>	Bolag 120 (A)	Managemer	nt Suitability Assessment	Started	2023-08-24
	A-596	Bolag 121 (A1)	Managemer	nt Suitability Assessment	Started	2023-08-24

- Click Actions.
- Select **Remove application.**
- The e-service will double-check that you want to remove the application. Click **Confirm**.



The application is deleted from the system. The e-service will send an email to the director(s)/executive(s) linked to the application notifying them of the removal and that they can disregard previous emails.



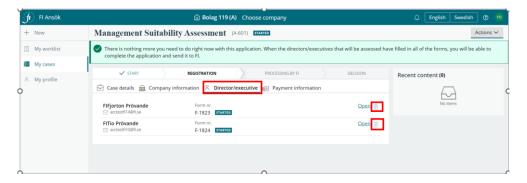
Remove a director/executive from an application

Representatives can always remove a director/executive from an application that has not yet been sent to FI.

• Open the application in **My cases.**

ſ	FI Ansök			 	Choose company	English Sw	edish 🕐	FO
+	New	N	Iy cases					
	·	I	Application number	Company	Case type	Submission Status	Create date	
My cases My profile	·		<u>A-601</u>	Bolag 119 (A)	Management Suitability Assessment	Started	2023-08-24	4
	my prome	Ľ	<u>A-543</u>	Bolag 7 (C)	Management Suitability Assessment	Started	2023-06-14	ł
			<u>A-608</u>	Försäkringsbolag 1 (C)	Management Suitability Assessment	Started	n Status Create date 2023-08-24 2023-08-24 2023-06-14 2023-08-30 2023-08-25	
			<u>A-603</u>	Bolag 7 (C)	Assessment of Senior Executives in Owner Company of a Financial Institution	Started	2023-08-25	6
			<u>A-602</u>	Bolag 6 (A3)	Management Suitability Assessment	Started	2023-08-24	4
My cases		<u>A-600</u>	Bolag 125 (D)	Management Suitability Assessment	Started	2023-08-24	4	

• Click **Director/Executive**. You will see a list of the director(s)/executive(s) to be assessed, each of which will have a rubbish bin icon on the right. To remove a director/executive, highlight the person and click the rubbish bin icon.



The system will double-check that you want to remove the person before doing so.



Note that you will need to add a new director/executive before you can remove all those listed in an application. To remove an entire application, see page 22.

Submit request, supplemental information, injunction

If supplemental information is required for your application, FI will inform you via the Applications e-service. The representative will receive an email informing of the need to add supplemental information. See the image below.



You can click on the link in the email to log in to the e-service and see what information you need to add and submit to FI.

You will find requests for supplemental information/injunctions in My worklist with a **K number**. Click on the task to open it.

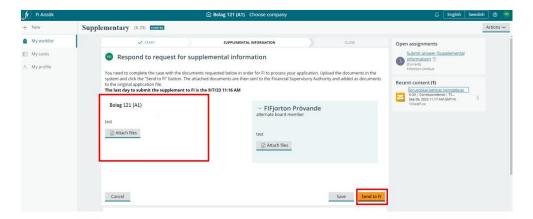
Each request for supplementary information or an injunction from an FI administrator will be designated a K number.

f FI Ansök			Bolag 121 (A1) Choose company		C English Swedish ()
+ New	My worklist				
My worklist					
My cases	Application number	Company	Case type	🐺 Task	Created by
A My profile	<u>K-33</u>	Bolag 121 (A1)	Supplementary	Submit answer	<u>Tilda@fi.se</u>
 my prome 					

You can view what you need to add as well as the last submission date in My worklist.

Do the following to respond to the request:

• Click Attach files and then Send to FI.



A message will appear on the screen when you have completed the task.

fl Ansök) Bolag 121 (A1) Choose company	🗘 English Swedish 🕥 🕫
+ New	Supplementary (K-33) recent	Actions \sim
My worklist	Thanks! Your supplement has been sent to the Finansinspektionen.	y (r, 6.3) Control plement has been sent to the Finansingsektionen. Image: Control of Control
My cases	Case details Din ans&kan behöver kompletteras tet Segümentar type Requests automatic Segümentar type AdS2 D709/2023 Segülation number AdS2 Doster ID Doster ID	Image: mentary (6.3) Image: Constraint of the Finantinopektione. Attorn > Your supplement has been sent to the Finantinopektione. Image: Constraint of the Finantinopektione. Image: Constraint of the Finantinopektione.
	FlFjorton Prővande – Assessment of new directorizenceutive ✓ Supplement alternate board member	

Application decision notification

You, the representative, will receive an email from the Applications eservice when FI has made a decision in your case. The email contains information notifying you that a decision has been reached and lists the case number.

Beslut om din ansökan				
Finansinspektionen Ansök <ansok@fi.se></ansok@fi.se>	← Svara	≪ Svara alla	→ Vidarebefordra	
			tis 2023-04-0	4 14:06
() Om meddelandet inte visas som det ska kan du klicka här för att visa det i en webbläsare.				
Hej,				
Finansinspektionen (FI) har fattat beslut om din ansökan med nummer A-102.				
Logga in i e-tjänsten för att ta del av beslutet. Logga in i FI:s e tjänst för ansökningar				
Observera att det inte går att svara på detta meddelande. Om du har frågor, kontakta <u>support.ansok@fi.se</u> .				
Med vänlig hälsning, Finansinspektionen				

To view the decision, do the following:

- Log in to Applications to view the decision.
- Go to **My cases** and open the case indicated in the email. The status of the case will be changed to **Closed** in the e-service.

🕞 FI Ansök		Bolag 121 (A1) Choose company		← English Swedish ⑦
+ New	My cases			
My worklist	Application number Company		Case type	Submission Status Create date
My cases	A-403 Bolag 121 (A	1)	Management Suitability Assessment	Closed 2023-04-04

When you open the case, you can see the decision or closing letter on the right under **Recent content**.

ſ	FI Ansök	Bolag 121 (A1)	Choose company		🗘 English S	wedish 🕑 FO
+	New	Management Suitability Assessment	403) (10110)			Actions \sim
۲	My worklist			V DECISION Rece	ent content (6)	
i	My cases	Assignments		View all 💿 📕	Slutbrev FI 23-8470 A-403 Slutbrev Tilda@fl.se Sep 06, 2023 12:35 PM GMT+0;	
8	My profile	Task	Assigned to		Tilda@fi.se 	
		Application form (F-1652)		<u>Open</u>	A-403 Correspondence A Apr 04, 2023 09:50 AM GMT+0;	1
		Case details Company information Case Created by	Director/executive (() Payment Information	人 人	Ledningscrowning FFES 2007.16.0/bit A-d03 Formulardokument - Apr 04, 2023 09:50 AM GMT+0; FITIo Provande Ledningscrowning FFFS 2018.10 A-403 Formulardokument Apr 04, 2023 09:50 AM GMT+0; FITIo Provande Images	1
		FIElva Ombud (Smo ago) 64 April 2020 09x7 Rikitatum 2021-09-10	Tillstånd	Load	FiElva Ombud	I

Help and support

You can find information about the Applications e-service in this user manual or through the automatic guide. Click on the question mark icon at the top.

f Fl Ansök		Vālj företag	🗸 🗸 Välj före	etag			lish Svenska (0
+ Ny	Mina arbetsupp	ogifter					om guiden	Ī
Mina arbetsuppgi						C) Obbig	anvangarmangalen	4
Mina ärenden	Ansökan nummer	Företag	₹ Are	endetyp	Arbetsuppgift		Skapad av	
 Min profil 								

You are welcome to email <u>support.ansok@fi.se</u> to receive Applications support.

Please **do not send** applications, other documents or supplemental documents to the support function.

For questions regarding a case that is being processed by FI, please contact <u>finansinspektionen@fi.se</u>