**Form for the tied agent passport notification and change of tied agent particulars notification(1)**

[Articles 13, 14 and 18 of Commission Implementing Regulation (EU) 2017/2382]

Reference number:………..

Date:……….

**Part 1 – Contact Information**

Type of notification: Tied agent passport notification/ change of tied agent particulars notification

Member State in which the investment firm/credit institution

intends to use a tied agent established in the host Member State(s)::

Name of the investment firm/credit institution:

Address of the investment firm/credit institution:

Name of the contact person at the investment firm/credit institution:

Telephone number of the investment firm/credit institution:

E-mail of the investment firm/credit institution:

Name of the tied agent:

Address of the tied agent:

Telephone number of the tied agent:

E-mail of the tied agent:

Name(s) of those responsible for the

management of the tied agent:

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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.

|  |  |
| --- | --- |
| Home Member State: | |
| Authorisation Status: | Authorised by [Home Member State Competent Authority] |
|  |  |
| Authorisation Date:  Reference or hyperlink to the public register where the tied agent is registered: | |

**Part 2 – Programme of operations**

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

(\*) Please place an (x) in the appropriate box(es).

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Investment Services and activities | | | | | | | | | | Ancillary services | | | | | | |
|  |  | A1 | A2 | A3 | A4 | A5 | A6 | A7 | A8 | A9 | B1 | B2 | B3 | B4 | B5 | B6 | B7 |
| Financial Instruments | C1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C3 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C4 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C5 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C6 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C7 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C8 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C9 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C10 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| C11 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

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

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| Business plan   1. Explain how the tied agent will contribute to the strategy of the firm/group   .   1. Describe what the main functions of the tied agent will be. 2. Describe the main objectives of the tied agent. |
| Commercial Strategy   1. Describe the types of clients/counterparties the tied agent will be dealing with. 2. Describe how the firm will obtain and deal with these clients. |
| Organisational structure   1. Briefly describe how the tied agent fits into the corporate structure of the firm/group. 2. Set out the organisational structure of the tied agent, showing both functional and legal reporting lines. 3. Identify who will be responsible for the tied agent operations on a day to day basis?   Provide details of professional experience of the persons responsible for the  management of the tied agent (Please attach CV).   1. Identify who will be responsible for the internal control functions at the tied agent. 2. Identify who will be responsible for dealing with complaints in relation to the tied agent. 3. Identify how will the tied agent report to the head office. 4. Detail any critical outsourcing arrangements. |
| Systems & Controls  Provide a brief summary of arrangements for:   1. safeguarding client money and assets (where applicable); 2. 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 Article 35(8) and record keeping under Article 16(6); 3. staff code of Conduct, including personal account dealing; 4. anti-money laundering; 5. monitoring and control of critical outsourcing arrangements (where applicable); 6. the name, address and contact details of the accredited compensation scheme of which the investment firm or credit institution is a member. |
| Financial forecast  Attach a forecast statement for profit and loss and cash flow, both over an initial period of thirty six month period. |