**** 

**Form for the passport notification of investment services and**

**activities¹**

Reference number:………

Date:……….

**Part 1 – Contact Information**

Type of notification: Investment services and activities passport

notification/ change of investment services

and activities particulars notification

Member State in which the investment

firm/credit institution intends to operate:

Name of investment firm/credit institution:

Trading name:

Address:

Telephone number:

E-mail:

Name of the contact person at the

investment firm / credit institution:

Home Member State:

Authorisation Status: Authorised by [Home Member State Competent Authority]

Authorisation Date:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

¹ For change of investment services and activities particulars notification only the parts of the forms which contain new information shall be completed. If the intention is to make changes to the investment services, activities, ancillary services or financial instruments, please list all the investment services, activities, ancillary services or financial instruments the firm will provide.

 

**Part 2 – Programme of operations**

**Intended investment services, activities and ancillary services\***

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 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 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

\*Please place an (x) in the appropriate boxes. These refer to A) the investment services and activities of Annex I, MiFID II, B) Ancillary services of Annex I, MiFID II and C) Financial Instruments of Annex I, MiFID II.

 

**Details of Tied Agent located in the home Member State\***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of tied agent** | **Address** | **Telephone** | **E-mail** | **Contact** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

\*Please provide separate matrixes with the intended investment services for each tied agent

the investment firm intends to use.

**Intended investment services to be provided by the tied agent\*:**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 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 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

\* Please place an (x) in the appropriate boxes. If you intend to make changes to the

investment services, activities or financial instruments provided by the tied agent, please list

all investment services, activities or financial instruments the tied agent will provide.