**Form for the notification of a branch passport¹**

Reference number:………..

Date:……….

**Part 1 – Contact Information**

Type of notification: Branch passport notification/ change of

branch particulars notification

Member State in which the investment firm

intends to establish a branch²

Name of the investment firm:

Address of the investment firm:

Telephone number of the investment firm:

E-mail of the investment firm:

Name of the contact person at the

investment firm :

Name of the branch:

Address of the branch:

Telephone number of the branch:

E-mail of the branch:

Name(s) of those responsible for the

management of the branch:

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¹ For changes of branch particulars notification please complete only the parts of the forms which contain new information.

When the investment firm intends to make changes to the investment services, activities, ancillary services or financial

instruments provided by the branch, the firm shall list all investment services, activities ancillary services or financial instruments

the branch will provide.

² Please note that national corporate law may require the previous registration to a commercial registry prior to the

commencement of operations by the branch.

Home Member State:

Authorisation Status: Authorised by [Home Member State

Competent Authority]

Authorisation Date:

**Part 2 – Programme of operations**

**Intended investment services, activities and ancillary services provided by the**

**branch\***

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 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.

**Business Plan and structural organisation of the branch**

|  |
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| Business plan  1. How will the branch contribute to the strategy of the firm/group?  2. What will the main functions of the branch be?  3. Describe the main objectives of the branch; |
| Commercial Strategy  1. Describe the types of clients/counterparties the branch will be dealing with;  2. Describe how the firm will obtain and deal with these clients; |
| Organisational structure   1. Briefly describe how the branch fits into the corporate structure of the firm/group? (This   may be facilitated by attaching an organisational chart)  2. Set out the organisational structure of the branch, showing functional, geographical and  legal reporting lines;  3. Who will be responsible for the branch operations on a day to day basis? Provide  details of professional experience of the persons responsible for the management of  the branch (Please attach CV);  4. Who will be responsible for the internal control functions at the branch?  5. Who will be responsible for dealing with complaints in relation to the branch?  6. How will the branch report to the head office?  7. Detail any critical outsourcing arrangements |
| Tied Agents**7**   1. Will the branch use tied agent? 2. What is the identity of the tied agent?  * Name * Address * Telephone * E-mail * Contact point * Reference or hyperlink to the public register where the tied agent is registered   7 The investment firm shall submit a separate passport notification in respect of each tied agent the branch intends to use. |
| Systems & Controls  Provide a brief summary of arrangements for:   1. safeguarding client money and assets;   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 Art  35(8) and record keeping under Art 16(6);  3. staff code of Conduct, including personal account dealing;  4. anti-money laundering;  5. monitoring and control of critical outsourcing arrangements (if applicable);  6. details of the accredited compensation scheme of which the investment firm 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; |