f



|  |
| --- |
| **Application form for approval related to nominee registration**  **Foreign (non-Norwegian) applicants** |
| Information on nominee registration, when you must apply for approval from Finanstilsynet, and how to send your application is [available here](https://www.finanstilsynet.no/en/licensing/nominee-registration/).  This form is for applications on behalf of foreign applicants, except applicants established pursuant to [CASS 6.2.3R (2) (a) of the Client Assets Sourcebook](https://www.handbook.fca.org.uk/handbook/CASS/6/2.html) in the Financial Conduct Authority's Handbook. Application form for Norwegian applicants is [available here](https://www.finanstilsynet.no/konsesjon/forvalterregistrering-nominee-registrering/#S%C3%B8knadsskjema).  Applications and supporting documentation shall be submitted in one of the Scandinavian languages or in English. Required documentation which is not available in either of these languages must be submitted by way of certified translations.  If you have any queries, please contact us at [post@finanstilsynet.no](mailto:post@finanstilsynet.no). |

|  |  |  |
| --- | --- | --- |
| **1. ON THE APPLICANT** | | |
| **Name** |  | |
| **Office address** |  | |
| **Postal address** |  | |
| **E-mail address** |  | |
| **Registration number** or equivalent identification number |  | |
| **LEI number** |  | |
| **Documentation**  (A copy of the company's certificate of registration or equivalent documentation showing the identification number) | | Attached |

|  |  |
| --- | --- |
| **Contact person for questions related to the application** | |
| **Name** |  |
| **E-mail address** |  |
| **Title** |  |

|  |  |  |
| --- | --- | --- |
| **Authorisation and supervision** | | |
| **Name of the competent authority** |  | |
| **Type of undertaking**  (A bank, mortgage credit institution, investment firm, CSD or securities fund management company) |  | |
| **Specification of services covered by the undertaking's authorisation**  (A reference to the documentation is sufficient if it includes a specification of the services) |  | |
| **Documentation**  (A confirmation from the supervisory authority or a printout from its public register, including an URL, dating back no more than two months) | | Attached |

|  |  |  |
| --- | --- | --- |
| **Anti-money laundering regulation** | | |
| **Undertake to comply with rules corresponding to Directive (EU) 2015/849** on the prevention of the use of the financial system for the purposes of money  laundering or terrorist financing | |  |
| **Documentation**  Only required for applicants that are 1) not authorised as a bank, mortgage credit institution, investment firm, or securities fund management company, or 2) has a home state outside the EEA.  (For instance, a declaration from the supervisory authority, a printout of a confirmation published by the supervisory authority including an URL, a confirmation from a lawyer, a reference with further explanations to the obsolete EU list of June 2012 as regards common understanding between Member States on third country equivalence under the Anti-Money Laundering Directive (Directive 2005/60/EC) (the list is available upon request)) | | Attached |
| **Comments**  (if any) |  | |

|  |  |
| --- | --- |
| **2. WHAT THE APPLICATION COMPRISES** | |
| **The Public Limited Liability Companies Act, section 4-10 subsection (1)**  Approval to act as a nominee in Norwegian shareholder registers  (and other registers regulated by the same provision) |  |
| **The Securities Funds Regulations, section 13-2 subsection (1)**  Approval to act as a nominee in Norwegian unit holder registers  (for banks, investment firms, CSDs and securities fund management companies) |  |
| **The Securities Funds Regulations, section 13-2 subsection (2)**  Approval to act as a nominee in Norwegian unit holder registers  (for applicants not covered by subsection (1), i.e. special cases) |  |
| For applications according to subsection (2): describe the special circumstances that exist and that make this a special case. | Attached |

|  |  |  |
| --- | --- | --- |
| **3. DISCLOSURE OBLIGATION** | | |
| A confirmation that the applicant upon request is willing and able to provide information on end investors required under Norwegian law | | Attached |
| **Contact information related to the nominee registration** | | |
| **The business area/unit** in the undertaking responsible for the nominee registration |  | |
| **E-mail address** for requests concerning end investors (should be a shared mailbox) |  | |
| **Manager with day-to-day responsibility** for the nominee registration  (name, title, phone number and e-mail address) |  | |
| **Other contact persons** (if relevant)  (name, title, phone number and e-mail address) |  | |

|  |
| --- |
| **4. ADDITIONAL INFORMATION** |
| **Any other information the applicant wishes to provide** |
|  |

|  |
| --- |
| **5. DATE AND SIGNATURES** |
|  |