



FINANSTILSYNET

THE FINANCIAL SUPERVISORY
AUTHORITY OF NORWAY

Reference number	
Date	

Annex VII

Notification in accordance with Article 35 (2) or (10) of the Markets in Financial Instruments Directive II (2014/65/EU)

Notice of intention to provide investment services and activities by the use of tied agent established in another Member State or change of tied agent particulars

(Articles 13 and 18 of Commission Implementing Regulation (EU) 2017/2382)

Firm name	
Organization number	
Date (dd.mm.yyyy)	

Contact Information	
Type of notification	<input type="checkbox"/> Tied agent passport notification <input type="checkbox"/> 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 investment firm/credit institution	
Address of investment firm/credit institution	
Name of the contact person at the investment firm/credit institution	
Telephone number of the investment firm/credit institution	
Email of the investment firm/credit institution	
Name of the tied agent	
Address of the tied agent	
Telephone number of the tied agent	
Email of the tied agent	
Name(s) of those responsible for the management of the tied agent	

Home Member State	
Authorisation Status	Authorised by Finanstilsynet
Authorisation Date	
Reference or hyperlink to the register where the tied agent is registered	

Programme of operations

Intended investment services or activities to be provided by the tied agent ¹

Please indicate all the investment services, activities and financial instruments the tied agent will provide.

	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

Business plan

1. Explain how the tied agent will contribute to the strategy of the firm/group;
2. Describe what will the main function of the tied agent will be;
3. Describe the main objectives of the tied agent;

¹ For the purposes of change in the tied agent particulars notification please complete only the parts of the form relevant to the notified changes. Where changes have been made to the investment services, activities, ancillary services or financial instruments provided by the branch, the firm shall list all the investment services, activities or financial instruments to be provided by 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? (This may be facilitated by attaching an organisational chart)
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);
4. Identify who will be responsible for the internal control functions at the tied agent?
5. Identify who will be responsible for dealing with complaints in relation to the tied agent?
6. Identify how the tied agent will report to the head office?
7. Detail any critical outsourcing arrangements;

Systems & Controls

Provide a brief summary of the 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 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 (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 months;

The notification and other relevant documentation should be send to post@finanstilsynet.no .

Please note the following regarding encryption of email:

Finanstilsynet uses Transport Layer Security (TLS) for encryption of e-mail to ensure that data are securely exchanged over a network. The sender of an e-mail is responsible for encrypting e-mails with sensitive data.

Please contact Finanstilsynet for further information TLS encryption.