



Reference number	
Date	

Annex VI

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 through the establishment of branch in another Member State or change of branch particulars

(Articles 12 and 17 of Commission Implementing Regulation (EU) 2017/2382)

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

Contact Information	
Type of notification	<input type="checkbox"/> Branch passport notification <input type="checkbox"/> Change of branch particulars notification
Member State in which the investment firm intends to establish a branch ¹	
Name of investment firm	
Address of investment firm	
Telephone number of investment firm	
Email of investment firm	
Name of the contact person at the investment firm	
Name of the branch	
Address of the branch	
Telephone number of the branch	
Email of the branch	

¹ Please note that national corporate law may require the previous registration to a commercial registry prior to the commencement of operations by the branch.

Name(s) of those responsible for the management of the branch	
Home Member State	
Authorisation Status	Authorised by Finanstilsynet
Authorisation Date	

Programme of operations

Intended investment services, activities and ancillary services provided by the branch ²

Please indicate all the investment services, activities, ancillary services and financial instruments which will be 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																

Business Plan and Structural organisation of the branch

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;

² For the purposes of changes of branch particulars notification please complete only the parts of the form which are relevant to the notified changes. 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 the investment services, activities, ancillary services or financial instruments the branch will provide.

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. Identify 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. Identify who will be responsible for the internal control functions at the branch?
5. Identify who will be responsible for dealing with complaints in relation to the branch?
6. Explain how the branch will report to the head office?
7. Detail any critical outsourcing arrangements;

Tied agents³

1. Will the branch use tied agent?
2. What is the identity of the tied agent?
Name, Address, Telephone, Email, Contact point.
Reference or hyperlink to the public register where the tied agent is registered.

³ 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 the 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. the name, address and contact 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 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.