



## FINANSTILSYNET

THE FINANCIAL SUPERVISORY  
AUTHORITY OF NORWAY

### **Application for Approval as a Nominee on behalf of UK "Nominee Companies"**

Applications from applicants established pursuant to [CASS 6.2.3R \(2\) \(a\) of the Client Assets Sourcebook](#) in the Financial Conduct Authority's Handbook shall include the following information:

- 1) The applicant's name, office address, postal address, and e-mail address
- 2) The applicant's Company No. and if relevant, LEI number
- 3) The parent company's name, office address, postal address, and e-mail address
- 4) The parent company's Company No. and LEI number
- 5) What the application comprises
  - a. The Public Limited Liability Companies Act, section 4-10 subsection (1) - Approval to act as a nominee in Norwegian share holder registers (And other registers regulated by the same provision)
  - b. The Securities Funds Regulation, section 13-2 subsection (2) - Approval to act as a nominee in Norwegian unit holder registers
- 6) Confirmation that the parent company is subject to supervision by the Financial Conduct Authority and what services the parent company are authorised to provide
- 7) The parent company's confirmation that the applicant is a subsidiary established to fulfil its obligations pursuant to CASS 6.2.3R (2) (a)
- 8) A confirmation that the applicant's activity is limited to be the registered owner of assets belonging to clients of the parent company, alternatively an account for what kind of activities the applicant performs beyond this
- 9) The parent company's confirmation that the nominee is obliged to comply with regulations equivalent to Directive (EU) 2015/849 on the prevention of the use of the financial system for the purpose of money laundering and terrorist financing
- 10) A confirmation that the applicant upon request is willing and able to provide information on end investors required under Norwegian law
- 11) Contact information related to the nominee registration:
  - a. The business area/unit in the undertaking responsible for the performance of the nominee registration
  - b. E-mail address for requests on end investors (must be read by several persons)
  - c. Leader with day-to-day responsibility for the nominee registration (name, title, phone number and e-mail address)
  - d. If relevant, other contact persons (name, title, phone number and e-mail address)
- 12) Contact person for questions related to the application (name, title, e-mail address)

13) Attachments:

- a. A copy of the certificate of registration or equivalent documentation showing the applicant's Company Number
- b. A copy of the certificate of registration or equivalent documentation showing the parent company's Company Number
- c. Documentation of information on supervision and services, cf. number 6), by a confirmation from the supervisory authority *or* a printout from its public register including the URL (must not be older than two months)
- d. Documentation that the applicant is a subsidiary of the parent company by a printout from the shareholder register or similar