Date:

**Form for the branch passport notification and change of branch particulars notification**

**Part 1- Contact Information**

|  |  |
| --- | --- |
| **Type of Notification** | [ ]  Branch passport notification[ ]  change of branch particulars notification |
|  |  |
| **Member State in which the investment firm intents to establish a branch** | [ ] BE [ ] BG [ ] CY [ ] CZ [ ] DE [ ] DK [ ] EE [ ] ES[ ] FI [ ] FR [ ] GR [ ] HR [ ] HU [ ] IE [ ] IS[ ] IT [ ] LI [ ] LT [ ] LU [ ] LV [ ] MT [ ] NL [ ] NO[ ] PL [ ] PT [ ] RO [ ] SE [ ] SI [ ] SK |
|  |  |
| **Name of the investment firm** |       |
|  |  |
| **Address of the investment firm** |       |
|  |  |
| **Telephone number of the investment firm** |       |
|  |  |
| **Email 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** |       |
|  |  |
| **Email of the branch** |       |
|  |  |
| **Name(s) of those responsible for the management of the branch** |       |
|  |  |
| **Home Member State** | Austria |
|  |  |
| **Authorisation Status** | Authorised by the Austrian Financial Market Authority |
|  |  |
| **Authorisation Date** |       |

**Part 2- Programme of operations**

**Intended investment services, activities and ancillary services provides by the branch**

|  |  |  |
| --- | --- | --- |
| **Financial****instruments** | **Investment services and activities** | **Ancillary services** |
|  | **A1** | **A2** | **A3** | **A4** | **A5** | **A6** | **A7** | **A8** | **A9** | **B1** | **B2** | **B3** | **B4** | **B5** | **B6** | **B7** |
| **C1** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C2** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C3** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C4** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C5** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C6** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C7** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C8** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C9** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C10** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| **C11** | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

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

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| Business plan1. How will the branch contribute to the strategy of the firm/group?

1. What will the main functions of the branch be?

     1. Describe the main objectives of the branch;

      |
| Commercial Strategy1. Describe the types of clients/counterparties the branch will be dealing with;

     1. Describe how the firm will obtain and deal with these clients;

      |
| Organisational structure1. Briefly describe how the branch fits into the corporate structure of the firm/group? (This may be facilitated by attaching an organisational chart)

     1. Set out the organisational structure of the branch, showing functional, geographical and legal reporting lines;

     1. 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);

     1. Identify who will be responsible for the internal control functions at the branch?

     1. Identify who will be responsible for dealing with complaints in relation to the branch?

     1. Explain how will the branch report to head office?

     1. Detail any critical outsourcing arrangements

      |
| Tied Agents(\*)1. Will the branch use tied agent?

     1. 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      |
| Systems & ControlsProvide a brief summary of arrangements for:1. safeguarding client money and assets;

     1. 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)

     1. staff code of Conduct, including personal account dealing;

     1. monitoring and control of critical outsourcing arrangements (if applicable);

     1. the name, address and contact details of the accredited compensation scheme of which the investment firm is a member

     Financial forecastAttach a forecast statement for profit and loss and cash flow, both over an initial period of thirty six month period; |

(\*) The investment firm shall submit a separate passport notification in respect of each tied agent the branch intends to use.