**Form for the tied agent passport notification and change of tied agent particulars notification**

**Part 1- Contact Information**

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| --- | --- |
| **Type of Notification** | [ ]  Tied agent passport notification[ ]  change of tied agent particulars notification |
|  |  |
| **Member State in which the investment firm intents to use a tied agent established in the host Member State(s):** | [ ] 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** |       |
|  |  |
| **Name of the contact person at the investment firm** |       |
|  |  |
| **Telephone number of the investment firm** |       |
|  |  |
| **Email of the investment firm** |       |
|  |  |
| **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** | Austria |
|  |  |
| **Authorisation Status** | Authorised by the Austrian Financial Market Authority |
|  |  |
| **Authorisation Date** |       |
|  |  |
| **Reference or hyperlink to the public register where the tied agent is registered** | <https://www.fma.gv.at/en/financial-service-providers/investment-service-providers/tied-agents-and-securities-brokers-query/>  |

**Part 2- Programme of operations**

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

|  |  |  |
| --- | --- | --- |
| **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. Explain how the tied agent will contribute to the strategy of the firm/group?

1. What will the main functions of the tied agent be?

     1. Describe the main objectives of the tied agent;

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

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

      |
| Organisational structure1. Briefly describe how the tied agent 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 tied agent, showing functional and legal reporting lines;

     1. 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);

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

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

     1. Identify how will the tied agent report to head office?

     1. Detail any critical outsourcing arrangements

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

     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. anti-money laundering;

     1. monitoring and control of critical outsourcing arrangements (where 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.      |