Une image contenant dessin

Description générée automatiquementFORM FOR THE BRANCH PASSPORT NOTIFICATION AND CHANGE OF BRANCH PARTICULARS NOTIFICATION[[1]](#footnote-2)

(Articles 12, 17 and 19 of Commission Implementing Regulation (EU) 2017/2382)

|  |  |
| --- | --- |
| **Part 1 – Contact information** | |
| Type of notification |  |
| Member State in which the investment firm intends to establish a branch[[2]](#footnote-3) | enter text |
| Name of the investment firm | enter text |
| Address of the investment firm | enter text |
| Telephone number of the investment firm | enter text |
| Email of the investment firm | enter text |
| Name of the contact person at the investment firm | enter text |
| Name of the branch | enter text |
| Address of the branch | enter text |
| Telephone number of the branch | enter text |
| Email of the branch | enter text |
| Name(s) of those responsible for the management of the branch | enter text |
| Home Member State | Luxembourg |
| Authorisation status | Authorised by the CSSF |
| Authorisation date | enter a date |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Part 2 – Programme of operations** | | | | | | | | | | | | | | | | | |
| Intended investment services, activities and ancillary services provided by the branch (\*) | | | | | | | | | | | | | | | | | |
| Investment services and activities | | | | | | | | | | | Ancillary services | | | | | | |
| Financial instruments |  | **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** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (\*) Please place an (x) in the appropriate box(es). | | | | | | | | | | | | | | | | | |

|  |
| --- |
| **Business plan and structural organisation of the tied agent** |
| Business plan |
| 1. How will the branch contribute to the strategy of the firm/group? |
| enter text |
| 1. What will the main functions of the branch be? |
| enter text |
| 1. Describe the main objectives of the branch. |
| enter text |
| Commercial strategy |
| 1. Describe the types of clients/counterparties the branch will be dealing with. |
| enter text |
| 1. Describe how the firm will obtain and deal with these clients. |
| enter text |
| 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.) |
| enter text |
| 1. Set out the organisational structure of the branch, showing functional, geographical and legal reporting lines. |
| enter text |
| 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). |
| enter text |
| 1. Identify who will be responsible for the internal control functions at the branch. |
| enter text |
| 1. Identify who will be responsible for dealing with complaints in relation to the branch. |
| enter text |
| 1. Explain how the branch will report to the head office. |
| enter text |
| 1. Detail any critical outsourcing arrangements. |
| enter text |

|  |  |
| --- | --- |
| **Tied agents (\*)** | |
| 1. Will the branch use tied agent(s)? |  |
| 1. What is the identity of the tied agent? | |
| Name | enter text |
| Address | enter text |
| Telephone | enter text |
| Email | enter text |
| Contact point | enter text |
| Reference or hyperlink to the public register where the tied agent is registered | enter text |
| (\*) 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 arrangements for: |
| 1. safeguarding client money and assets; |
| enter text |
| 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); |
| enter text |
| 1. staff code of conduct, including personal account dealing; |
| enter text |
| 1. anti-money laundering; |
| enter text |
| 1. monitoring and control of critical outsourcing arrangements (if applicable); |
| enter text |
| 1. the name, address and contact details of the accredited compensation scheme of which the investment firm is a member. |
| enter text |
| Financial forecast |
| Attach a forecast statement for profit and loss and cash flow, both over an initial period of thirty-six months- |

1. For the purpose of a change 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 investment services, activities, ancillary services or financial instruments the branch will provide. [↑](#footnote-ref-2)
2. Please note that national corporate law may require the previous registration to a commercial registry prior to the commencement of operations by the branch. [↑](#footnote-ref-3)