**Fitness and propriety assessment form M**

This form is used by persons subject to the reporting requirement of the following supervised entities:

* payment institutions and their foreign branches
* persons providing payment service without authorisation

A report must be submitted on the following persons:

* member and deputy member of a payment institution's board of directors
* managing director and deputy managing director of a payment institution
* other senior management of a payment institution
* manager and deputy manager of a foreign branch of a Finnish payment institution
* natural person acting as an agent
* person responsible for managing a person acting as an agent
* natural person participating in, or responsible for, the provision of payment service without authorisation

A report must also be submitted on non-Finnish citizens.

A report must be submitted when:

* applying for authorisation of a payment institution
* filing a notification of the provision of payment service without authorisation
* filing a notification of the use of an agent
* a new person is appointed to any of the abovementioned positions
* an abovementioned person is appointed to a position more significant than the one held previously or when a person's area of responsibilities expands substantially (for example, as a result of merger or other business restructuring or organisational changes).
* The reporter’s circumstances change materially from the previous report.

A report must be made when applying for authorisation or filing a notification concerning the provision of payment service without authorisation or the use of an agent. When a new person has been appointed to an abovementioned position, a report must be made immediately after the appointment decision or change of duties, no later than two weeks from the decision.

**The information to be reported concern the reporter’s activities in Finland and abroad. Each section of the form must be completed. If there is nothing to report in any given question, please answer ‘Nothing to report’. Information can also be submitted in attachments where necessary.**

**The provision of untruthful information to an authority is punishable under chapter 16, section 8 of the Penal Code (19.12.1889/39) as giving a false testimony to an authority.**

Information on how the FIN-FSA processes personal data when making fitness and propriety assessments is available at: [Data protection - Statements and guidelines - www.finanssivalvonta.fi/en.](file:///\\spdata3\USERS4\NYBOMTI\DATA\Instituutiovalvonta\Osastosihteeri\FITO\DP-toimisto%20LASKUTETUT\LOMAKKEET\Data%20protection%20-%20Statements%20and%20guidelines%20-%20www.finanssivalvonta.fi\en.)

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| To be completed by the person concerned (reporting person) |
| **1.Name of the supervised entity**  Answer here |
| **2. Name of the reporting person, place of permanent residence and address details, nationality, place of birth (city and country) and date of birth.**  Answer here |
| **3. Reason for reporting**  *Job description, duties and responsibilities in the supervised entity, or functioning as an agent, start and end date of the position or indication that the appointment is made until further notice.*  Answer here |
| **4. Professional education (only by payment institutions’ reporting persons and agents)**  *Degrees relevant to the person’s profession, graduation years and educational institutes from which the degrees were awarded.*  Answer here |
| **5. Previous working experience (only completed by payment institutions’ reporting persons and agents)**  *Previous employment relevant for the performance of the current position: names of employers, duration of employment, job descriptions and responsibilities of the position. In addition, report if the position continues, despite being appointed to the position referred to in section 3 above. Key positions of trust, such as membership in a board of directors or functioning as an auditor, must also be reported. The information can be given in an attached CV.*  Answer here |
| **6. Holdings and other financial links (only completed by payment institutions’ reporting persons and agents)**  *Holdings and financial links which may affect the integrity of the person’s actions in the position to which they will be appointed.*  Answer here |
| **7.Any disciplinary actions, objections or other reprimands against the reporting person**  *For example, decisions given by market court, authority, disciplinary board of stock exchange, board of directors of stock exchange, board of directors of options corporation, the board of the Finnish Central Securities Depository, auditing board, bar association or consumer complaints board. For example, objections, warnings, conditional fines, disciplinary fines imposed on the basis of self-regulatory provisions and revocations of rights.*  Answer here |
| **8. Payment irregularities, debt restructuring and business prohibition**  *Information on registered public payment defaults, bankruptcy, business restructurings or debt restructurings or business prohibition (including any revoked business prohibition) as well as on information on cases pending with a debt recovery authority at the signature date of this report, or cases that have been handled by a debt recovery authority within two years preceding the report (information corresponding to a debt recovery certificate).*  Answer here |
| **9. Legally valid convictions and fines on criminal matters, fines and information on criminal investigations and criminal litigations concerning the person. Note! In this section, you must report legally valid convictions, pecuniary penalties and pending litigations concerning criminal matters.**  Answer here |
| **10. Are there any other matters the person wishes to report in this connection and considers to be of material importance when assessing their fitness and propriety?**  Answer here |
| **I confirm that the information I have disclosed in this report is correct and commit to reporting any changes therein.** |

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| Place and date | Answer here |
| **Signature** |  |
| **Clarification of signature** | Answer here |

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| To be completed by the management of the supervised entity |
| This part is completed by the board of directors where the report concerns members and deputy members of the board of directors and managing director and deputy managing director. The managing director is responsible for filling in the report where it concerns a subordinate. The supervised entity declares that it has confirmed the following:   * the person’s professional competence and previous working experience fulfil the requirements of the position (assessed with respect to payment institutions’ reporting persons and agents) * the supervised entity is aware of the positions of trust, holdings and financial links which affect the integrity of the person’s actions in the position, and it has assessed their impact on the person’s competence to perform the tasks required (assessed with respect to payment institutions’ reporting persons and agents) * the person has no such payment remarks or financial irregularities which could have an impact on the conduct of the duties or the maintenance of trust in the operation of the supervised entity * the impact of any reprimand procedures concerning the person has been assessed * the supervised entity has considered other matters of which it has become aware, and which can be deemed to be of material importance for the assessment.   The supervised entity also confirms it has verified that the person is not bankrupt, the person’s capacity has not been restricted, and they are not subject to a business prohibition.  Adverse facts found in the assessment which have not obstructed the appointment of the person: Answer here |

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| Place and date | Answer here |
| **Signature**  Signature and clarification of signature and of the supervised entity’s board of directors/managing director/person authorised by either one (the signatory must be another person than the reporting person) |  |
| **Clarification of signature** | Answer here |