

## ANNEX

## 'ANNEX I

**Form for the submission of a branch passport notification or a change in a branch particulars notification**

Where credit institutions notify changes in branch particular notifications to competent authorities of home and host Member States, credit institutions shall only complete the parts of the form which contain information that has changed.

**1. Contact information**

Type of notification	<input type="checkbox"/> Initial branch passport notification <input type="checkbox"/> Notification of change in branch particulars notification
Host Member State in which the branch is to be established:	<i>[to be completed by the credit institution]</i>
Name and national reference code of the credit institution as available in the credit institution register maintained by the European Banking Authority (EBA):	<i>[to be completed by the credit institution]</i>
LEI of the credit institution:	<i>[to be completed by the credit institution]</i>
Address of the credit institution in the host Member State from which documents may be obtained:	<i>[to be completed by the credit institution]</i>
Intended principal place of business of the branch in the host Member State:	<i>[to be completed by the credit institution]</i>
Date on which the branch intends to commence its activities:	<i>[to be completed by the credit institution]</i>
Name of contact person at the branch:	<i>[to be completed by the credit institution]</i>
Telephone number:	<i>[to be completed by the credit institution]</i>
Email:	<i>[to be completed by the credit institution]</i>

**2. Programme of operations**2.1. *Types of business envisaged*

2.1.1. Description of the main objectives and business strategy of the branch and an explanation of how the branch will contribute to the strategy of the institution and, where applicable, of its group

*[to be completed by the credit institution]*

2.1.2. Description of the target customers and counterparties

*[to be completed by the credit institution]*

- 2.1.3. List of the activities referred to in Annex I to Directive 2013/36/EU that the credit institution intends to carry out in the host Member State with the indication of the activities that will constitute the core business in the host Member State, including the intended start date for each activity (as accurate as possible).

No.	Activity	Activities that the credit institution intends to start carrying out (fill in with 'S')/or to cease carrying out (fill in with 'C')	Activities that will constitute the core business	Intended start or cease date for each activity
1.	Taking deposits and other repayable funds			
2.	Lending including, <i>inter alia</i> : consumer credit, credit agreements relating to immovable property, factoring, with or without recourse, financing of commercial transactions (including forfeiting)			
3.	Financial leasing			
4.	Payment services as defined in Article 4, point (3) of Directive (EU) 2015/2366 of the European Parliament and of the Council (1)			
4a.	Services enabling cash to be placed on a payment account and all the operations required for operating a payment account			
4b.	Services enabling cash withdrawals from a payment account and all the operations required for operating a payment account			
4c.	Execution of payment transactions, including transfers of funds on a payment account with the user's payment service provider or with another payment service provider: <ul style="list-style-type: none"> <li>— execution of direct debits, including one-off direct debits</li> <li>— execution of payment transactions through a payment card or a similar device</li> <li>— execution of credit transfers, including standing orders</li> </ul>			
4d. *	Execution of payment transactions where the funds are covered by a credit line for a payment service user: <ul style="list-style-type: none"> <li>— execution of direct debits, including one-off direct debits</li> </ul>			

	<ul style="list-style-type: none"> <li>— execution of payment transactions through a payment card or a similar device</li> <li>— execution of credit transfers, including standing orders</li> </ul>			
4e. **	<ul style="list-style-type: none"> <li>— Issuing of payment instruments</li> <li>— Acquiring of payment transactions</li> </ul>			
4f.	Money remittance			
4g.	Payment initiation services			
4h.	Account information services			
5.	Issuing and administering other means of payment (e.g. travellers' cheques and bankers' drafts) insofar as such activity is not covered by point 4.			
6.	Guarantees and commitments			
7.	Trading for own account or for account of customers in any of the following:			
7a.	— Money market instruments (e.g. cheques, bills, certificates of deposits)			
7b.	— Foreign exchange			
7c.	— Financial futures and options			
7d.	— Exchange and interest-rate instruments			
7e.	— Transferable securities			
8.	Participation in securities issues and the provision of services related to such issues			
9.	Advice to undertakings on capital structure, industrial strategy, and related questions and advice as well as services relating to mergers and the purchase of undertakings			
10.	Money broking			
11.	Portfolio management and advice			
12.	Safekeeping and administration of securities			
13.	Credit reference services			
14.	Safe custody services			
15.	Issuing electronic money			

(<sup>1</sup>) Directive (EU) 2015/2366 of the European Parliament and of the Council of 25 November 2015 on payment services in the internal market (OJ L 337, 23.12.2015, p. 35).

\* Does the activity referred to in point 4d include the granting of credits in accordance with Article 18(4) of Directive (EU) 2015/2366?

yes  no

\*\* Does the activity referred to in point 4e include the granting of credit in accordance with Article 18(4) of Directive (EU) 2015/2366?

yes  no

2.1.4. List of the services and activities that the credit institution intends to carry out in the host Member State, and which are provided for in Sections A and B of Annex I to Directive 2014/65/EU of the European Parliament and of the Council (<sup>1</sup>), when referring to the financial instruments provided for in Section C of Annex I of that Directive

Financial instruments	Investment services and activities									Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	A 9	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1																
C2																
C3																
C4																
C5																
C6																
C7																
C8																
C9																
C10																
C11																

Note 1:

Row and column headings are references to the relevant section and item numbers in Annex I to Directive 2014/65/EU (e.g. A1 refers to point 1 of Section A of Annex I)

2.2. Structural organisation of the branch

2.2.1. Description of the organisational structure of the branch, including functional and legal reporting lines and the position and role of the branch within the corporate structure of the institution and, where applicable, of its group

[to be completed by the credit institution]  
 The description can be supported by relevant documents, such as an organisational chart

(<sup>1</sup>) Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

2.2.2. Description of the governance arrangements and internal control mechanisms of the branch, including the following information:

2.2.2.1. Risk management procedures of the branch and details of liquidity risk management of the institution, and where applicable, of its group

*[to be completed by the credit institution]*

2.2.2.2. Any limits that apply to the activities of the branch, in particular to its lending activities

*[to be completed by the credit institution]*

2.2.2.3. Details of the internal audit arrangements of the branch, including details of the person responsible for these arrangements and, where applicable, details of the external auditor

*[to be completed by the credit institution]*

2.2.2.4. Anti-money laundering arrangements of the branch including details of the person appointed to ensure compliance with these arrangements

*[to be completed by the credit institution]*

2.2.2.5. Controls over outsourcing and other arrangements with third parties in connection with the activities carried out in the branch that are covered by the institution's authorisation

*[to be completed by the credit institution]*

2.2.3. Where the branch is expected to carry out one or more of the investment services and activities defined in Article 4(1), point (2), of Directive 2014/65/EU, a description of the following arrangements:

2.2.3.1. Arrangements for safeguarding client money and assets

*[to be completed by the credit institution]*

2.2.3.2. Arrangements for compliance with the obligations laid down in Articles 24, 25, 27 and 28 of Directive 2014/65/EU and measures adopted pursuant thereto by the relevant competent authorities of the host Member State

*[to be completed by the credit institution]*

2.2.3.3. Internal code of conduct including controls over personal account dealing

*[to be completed by the credit institution]*

2.2.3.4. Details of the person responsible for dealing with complaints in relation to the investment services and activities of the branch

*[to be completed by the credit institution]*

2.2.3.5. Details of the person appointed to ensure compliance with the arrangements of the branch relating to investment services and activities

*[to be completed by the credit institution]*

2.2.4. Details of professional experience of the persons responsible for the management of the branch

*[to be completed by the credit institution]*

2.3. Other information

2.3.1. Financial plan containing forecasts for balance sheet and profit and loss account, covering a period of three years comprising the underlying assumptions

*[to be completed by the credit institution]*

*This information can be provided as an attachment to the notification*

2.3.2. Name and contact details of the Union deposit guarantee and investor protection schemes in the Member State of which the institution is a member and which cover the activities and services of the branch, together with the maximum coverage of the investor protection scheme

*[to be completed by the credit institution]*

2.3.3. Details of the branch's IT arrangements

*[to be completed by the credit institution]*