To the Receipt stamp

Financial Market Authority Liechtenstein (FMA)

*Annex 2 to FMA GL 2022/05 – Licence checklist (mixed) financial holding company*

*Please tick as applicable, provide other comments and references where necessary, and enclose the signed checklist with the written application for the grant of a licence as a (mixed) financial holding company in accordance with the Liechtenstein Banking Act of 5 December 2024 (Bankengesetz vom 5. Dezember 2024, BankG – BA) and the Liechtenstein Banking Ordinance of 14 January 2025 (Bankenverordnung vom 14. Januar 2025, BankV – BO), making sure to number the respective enclosures. The application, including the enclosures, must be submitted in writing* ***and*** *electronically (PDF format). In the case of notarised (and possibly apostilled) documents, a corresponding note must be applied in the electronic document upon it being submitted electronically if this is not already visible in the electronic document.*

**Details on the identity of the applicant**

*a) Details if the applicant is an individual:*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Last name* | | *Last name at birth* | *First name(s)* | |
| *Date of birth* | | *Place of birth* | *Country of birth* | *Nationality (nationalities)* |
| *Address of principal place of residence* | *Street* | | | *Number* |
| *Postcode* | *Place* | | |

*b) Details if the applicant is a legal entity:*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Company name* | | | *Legal form* | | |
| *Registered office* | | *Postcode* | *Country of registered office* | | |
| *Address of main branch* | *Street* | | | | *Number* |
| *Postcode* | *Place* | | *Country* | |

*c) Authorised recipient (if appointed):*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Last name (or name of entity)* | | | *First name(s) (or legal form)* | *Date of birth* |
| *Address of principal place of residence* | *Street* | | | *Number* |
| *Postcode* | *Place* | | |

*d) Authorised legal representative, provided the notifier is represented:*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Last name (or name of entity)* | | | *First name(s) (or legal form)* | *Date of birth* |
| *Address of principal place of residence* | *Street* | | | *Number* |
| *Postcode* | *Place* | | |

*e) Contact person (for enquiries):*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Last name* | | | *First name(s)* | | |
| *Address* | *Street* | | | | *Number* |
| *Postcode* | *Place* | | | |
| *Telephone number* | | | *E-mail address* | |

**Information to be enclosed**

Details on the information to be included in the enclosures can be found in the FMA Guidelines 2022/05 and in the BA and BO, in particular Article 28 BA and Article 7 BO.

The enclosures to be submitted must bear the relevant, continuous enclosure number in accordance with the following table. In the case of multi-page enclosures, the exact reference must always be provided.

In specific cases, if information only is applicable to a limited extent or in part, the original of a corresponding signed and dated declaration from the applicant must be enclosed under all circumstances. If it is not possible to provide a declaration for one of the named points, written justification must also be submitted to the FMA.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Legal basis** | **Description** | **Enclosure No.** | **Enclosed** | | **Not enclosed** | **Not applicable** | **Remarks** |
| Article 7(a) BO | Documents concerning the origin of funds and the basic ownership structure of the company capital as well as the nature thereof |  | |  |  |  |  |
| Article 7(b) BO | Details concerning the applicant’s legal form and articles of association |  | |  |  |  |  |
| Article 7(c) BO | Details concerning the applicant’s registered office and address of the head office |  |  | |  |  |  |
| Article 7(d) BO | Details of the persons who manage the business of the financial holding company or mixed financial holding company, including information concerning compliance with the requirements laid down in Article 135 BA (analogous application of [FMA Communication 2013/07](https://www.fma-li.li/fma-li/documents/rechtsgrundlagen/en/fma-communication-2013-7.pdf)) |  |  | |  |  |  |
| Article 7(e) BO | Organisational structure of the group to which the financial holding company or mixed financial holding company belongs, including details of its subsidiaries and where applicable parent company, as well as the registered office and the nature of the operations of the individual companies within the group |  |  | |  |  |  |
| Article 7(f) BO | Details concerning compliance with the criteria laid down in Article 22(1) BA with regard to shareholders and members, if the financial holding company or mixed financial holding company has a bank as a subsidiary (analogous application of [FMA Guidelines 2017/20](https://www.fma-li.li/fma-li/documents/rechtsgrundlagen/en/fma-guidance-2017-20.pdf)) |  |  | |  |  |  |
| Article 7(g) BO | If the financial holding company or mixed financial holding company has a bank or investment firm as a subsidiary, the details that must be filed in order to review compliance with the criteria laid down in Article 60(1) BA; if compliance with the criteria laid down in Article 14 of Directive 2013/36/EU has already been assessed by a competent authority in another EEA Member State, proof of the result of this assessment |  |  | |  |  |  |
| Article 7(h) BO | Internal organisation and division of tasks within the group |  |  | |  |  |  |
| Article 7(i) BO | Description of the applicant’s corporate governance and internal control mechanisms, including administration, risk management and accounting practices, establishing that this corporate management and these control mechanisms and practices are proportionate, appropriate, reliable and sufficient |  |  | |  |  |  |
| Article 7(j) BO | A declaration from an FMA-recognised firm of auditors that it accepts the mandate according to Article 130 BA |  |  | |  |  |  |

**Please note:**

If it is not possible to provide a declaration for one of the named points, written justification must be submitted to the FMA.

If the foundation of the (mixed) financial holding company has already been reviewed by the FMA, any changes that have occurred since the last review must also be documented, with the provision of express confirmation that there are no further changes in addition to the stated changes. The completeness and accuracy of these details must be confirmed at the same time. In individual cases, the FMA will request the updating of documents that are already available.

By providing their signature, the undersigned confirm that the details provided in the checklist, including the enclosures and other information, are complete and accurate.

**Data protection:**

The FMA processes personal data exclusively in accordance with the general data processing principles of the General Data Protection Regulation (Regulation (EU) and in line with applicable data protection law.

All information regarding the processing of personal data, including details about the purpose of processing, the data controller and the rights of data subjects can be found in the FMA Privacy Policy, are accessible at: [Data protection](https://www.fma-li.li/en/fma/data-protection)

……………………………., …………………….. ………………………………………………………….

(Place, date) (Name in block capitals and signature of the authorised representative)