

De Nederlandsche Bank (DNB) will record the data supplied on the basis of this application form in a personal data processing system within the meaning of the Personal Data Protection Act (*Wet bescherming persoonsgegevens / Wbp*). The Dutch Data Protection Authority (*College Bescherming Persoonsgegevens*) has been notified of the processing of personal data. The notification form is available for inspection at DNB.

We always exercise due care in handling your data. We may exchange your data with third parties only if it is permitted by law; for example with supervisors and criminal authorities in the Netherlands and abroad.

You must of your own volition and without delay inform DNB of any change in circumstances that would cause you to have answered the questions below differently.

Please indicate on the form which documents you are adding to it by ticking the boxes against the relevant questions.

**1 Data as referred to in Section 37 (1), under a, FSA Decree on Scope Provisions**

Name of bank \_\_\_\_\_

Address of bank \_\_\_\_\_

Postal address of bank \_\_\_\_\_

Telephone number of bank

Fax number of bank

*(only to be completed if more than one bank is concerned)*

Name of bank \_\_\_\_\_

Address of bank \_\_\_\_\_

Postal address of bank \_\_\_\_\_

Telephone number of bank

Fax number of bank

**2 Data as referred to in Section 37 (1), under b, FSA Decree on Scope Provisions**

Name of financial corporation \_\_\_\_\_

Address of financial corporation \_\_\_\_\_

Postal address of financial corporation \_\_\_\_\_

Telephone number of financial corporation

Fax number of financial corporation

**3 Data as referred to in Section 37 (1), under c, FSA Decree on Scope Provisions**

Legal form of financial corporation \_\_\_\_\_

**4 Data as referred to in Section 37 (1), under d, FSA Decree on Scope Provisions**

Name of financial corporation according to articles of association \_\_\_\_\_

Registered office of financial corporation \_\_\_\_\_

Trading name(s) of financial corporation \_\_\_\_\_

**5 Data as referred to in Section 37 (1), under e, FSA Decree on Scope Provisions**

Registration number in the Trade Register of the Chamber of Commerce

**6 Data as referred to in Section 37 (1), under f, FSA Decree on Scope Provisions**

A certified copy of the financial corporation's articles of association

*attached as appendix A*

**7 Data as referred to in Section 37 (1), under g, FSA Decree on Scope Provisions**

A programme of activities that the financial corporation intends to pursue.

*attached as appendix B*

**8 Data as referred to in Sections 37(1), under h and 37(1), under I, FSA Decree on Market Access of Financial Corporations**

a Completed and signed Prospective appointment notification forms and Integrity test forms each of the persons who determine or co-determine the policy of the financial corporation (i.e. managing directors and other policy makers), to the extent applicable together with completed and signed Integrity test forms with the requested enclosures\*

Names of persons (last name, initial(s)):

.....  
.....  
.....  
.....

Number of Prospective appointment notification forms included:

.....

Number of Integrity test forms included:

.....

*attached as appendix C1*

b Completed and signed Prospective appointment notification forms of each of the persons who form part of a body within the financial corporation that is entrusted with the supervision of the policies and general course of events of the financial corporation (such as supervisory directors), to the extent applicable together with completed and signed Integrity test forms with the requested enclosures\*

Names of persons (last name, initial(s)):

.....  
.....  
.....  
.....

Number of Prospective appointment notification forms included:

.....

Number of Integrity test forms included:

.....

*attached as appendix C2*

**9 Data as referred to in Section 37 (1), under j, FSA Decree on Scope Provisions**

A description of the proposed policies to secure sound operations as referred to in Section 3:10 (1), FSA.

*attached as appendix E*

\*\* The integrity test form is only applicable for persons who have not yet been tested for integrity. You can download the integrity test forms and the prospective appointment notification form from our website ([www.dnb.nl](http://www.dnb.nl))

**10 Data as referred to in Section 37 (1), under k, FSA Decree on Scope Provisions**

A description of the control structure that permits an assessment for compliance with Section 3:16, FSA.

*attached as appendix F*

**11 Data as referred to in Section 37 (1), under l, FSA Decree on Scope Provisions**

A description of the organisation of the operations to secure controlled and sound operations, as referred to in Section 3:17 (1), FSA.

*attached as appendix G*

**12 Data as referred to in Section 37 (1), under m, FSA Decree on Scope Provisions**

A description of the consolidated supervision as referred to in Section 3:31, FSA

*attached as appendix H*

or

*not applicable*

**13 Data as referred to in Section 37 (1), under n, FSA Decree on Scope Provisions**

Documents from which the Financial corporation's own funds as referred to in Section 3:53 (1), FSA, and the Financial corporation's expected solvency as referred to in Section 3:57 (1), FSA, are apparent

*attached as appendix I*

**NOTE: you only need to complete questions 14 – 16 if your application concerns a bank that intends to provide portfolio investment services**

**14 Data as referred to in Section 37 (2), under a, FSA Decree on Scope Provisions**

The operational organisation as referred to in Section 4:14, FSA

*attached as appendix J*

**15 Data as referred to in Section 37 (2), under b, FSA Decree on Scope Provisions**

The measures as referred to in Section 4:87, FSA

*attached as appendix K*

**16 Data as referred to in Section 37 (2), under c, FSA Decree on Scope Provisions**

The policies as referred to in Section 4:88, FSA

*attached as appendix L*

**17 Signature(s) of authorised representative(s)**

The undersigned declare(s) to have taken note of the aforementioned information about the processing of personal data in conformity with the provisions of the Wbp and the obligation to notify any changes in the answers to the questions asked.

The undersigned declare(s) to have filled in this questionnaire and the appendix (-ices) fully and truthfully.

Date

Date

Place

Place

Name and position

Name and position

Signature

Signature

Please send the completed and signed form, with any appendices, to:  
De Nederlandsche Bank, Expertisecentrum Markttoetreding, Postbus 98, 1000 AB Amsterdam.  
If you have any questions, please contact DNB's Information Desk on 0800 - 020 10 68  
or send an e-mail to [info@dnb.nl](mailto:info@dnb.nl).  
From outside the Netherlands please call +31 20 524 91 11.