



**Annex 1**

to the Regulation of the Financial Market Authority (FMA) on the information that a party subject to notification requirements intending to acquire, increase, dispose of or reduce a qualifying holding in a credit institution, an insurance or reinsurance undertaking, an investment services provider, a payment institution or an electronic money institution, shall be required to submit to the FMA (Regulation on Qualifying Holdings 2016 – EKV 2016)

**Notification form pursuant to Article 4 para. 1 EKV 2016 for acquiring/increasing of a qualifying holding**

To the  
Finanzmarktaufsichtsbehörde – FMA

Receipt stamp

The following is hereby notified:

- Intention to acquire a qualifying holding
- Intention to increase a qualifying holding

in the following\*

- credit institution:
- insurance or reinsurance undertaking:
- payment institution:
- electronic money institution:

Company name or designation		
Legal form		
Place of incorporation		
	Street, house number	
	Postcode	
	City	
	Country	

**The party subject to notification requirements will control the target undertaking following the acquisition or increase of a qualifying holding:**

- No       Yes

\* For notifications regarding participations in investment firms or investment services providers it is not necessary to use the notification form (Article 4 para. 1 EKV 2016).

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## 1. Information about the identity of the party subject to notification requirements

### a) Details, if the party subject to notification requirements is a natural person:

Surname		
Surname at birth		
Forename(s)		
Date of birth		
Place and country of birth		
Nationality		
Address of principle place of residence.		
	Street, house number	
	Postcode	
	City	
	Country	
Telephone no. (incl. area code)		
E-mail address		

### b) Details, if the party subject to notification requirements is not a natural person:

Company name or designation		
Legal form		
Place of incorporation with postcode		
Country of incorporation		
Address of principal place of business		
	Street, house number	
	Postcode	
	City	
	Country	
Commercial Register number or number of a comparable register entry		

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**c) Authorised recipient (where appointed):**

Surname or company name and legal form		
Forename(s)		
Date of birth		
Address		
	Street, house number	
	Postcode	
	City	
	Country	

**d) Authorised legal representative, where the party subject to notification requirements is represented by someone else:**

Surname or company name and legal form		
Forename(s)		
Date of birth		
Address		
	Street, house number	
	Postcode	
	City	
	Country	

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## 2. Further information about the party subject to notification requirements and the planned holding

a) The party subject to notification requirements is an undertaking as defined in Article 7 para. 3 no. 1 EKV 2016:

- No
- Yes, the party subject to notification requirements is a/an:
- credit institution
  - insurance or reinsurance undertaking:
  - investment firm or investment services provider
  - Pensionskasse* (pension company)
  - payment institution
  - electronic money institution

b) The party subject to notification requirements is an undertaking as defined in Article 7 para. 3 no. 1a, that is subject together with the target undertaking to consolidated supervision by the FMA:

- No
- Yes, the parent undertaking of the party subject to notification requirements is:  a credit institution
- an insurance or reinsurance undertaking
- another type of undertaking:

--

Name of the parent undertaking
Description of the relationship of the party subject to notification requirements to the parent undertaking in company law terms
Description of the relationship of the target undertaking to the parent undertaking in company law terms

c) The party subject to notification requirements is an undertaking as defined in Article 7 para. 3 no. 2 EKV 2016:

- No
- Yes, the party subject to notification requirements is a/an:
- credit institution pursuant to Article 4 (1) (1) of Regulation (EU) No 575/2013
  - investment firm pursuant to Article 4 (1) (1) of Directive 2014/65/EU
  - insurance or reinsurance undertaking pursuant to Article 13 (1) and (4) of Directive 2009/138/EC

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The competent supervisory authority/authorities is/are:


**d) The party subject to notification requirements makes use of Article 7 para. 3 no. 3 EKV 2016:**

No

Yes; the information that has not been submitted will be submitted by the following additional party/parties subject to notification requirements:

1.	
2.	
3.	

**e) The party subject to notification requirements makes use of Article 7 para. 5 EKV 2016:**

No

Yes

**Designation of the information that will not be resubmitted, including Annex nos.:**

1.	
2.	
3.	

The listed information that has not been resubmitted, remains complete, correct and current.

**Further details about the information that is not being resubmitted:**

Date of the original submission to the FMA of the information that is not being resubmitted:

1.	
2.	
3.	

Has the party subject to notification requirements submitted the information to the FMA itself?

If not, the name of the entity should be stated that submitted the information to the FMA

1.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
2.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
3.	<input type="checkbox"/> No <input type="checkbox"/> Yes	

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Was the information that is not being resubmitted pursuant to Article 7 para. 5 no. 3 point a submitted within a procedure for which the FMA has assigned a reference number (GZ)?

If yes, please enter the case number

1.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
2.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
3.	<input type="checkbox"/> No <input type="checkbox"/> Yes	

Was the information that is not being resubmitted pursuant to Article 7 para. 5 no. 3 point b submitted to comply with a legal reporting or notification obligation?

If yes, the legal provision(s) should be entered, for compliance with which reporting or notification was performed

1.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
2.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
3.	<input type="checkbox"/> No <input type="checkbox"/> Yes	

Was the information that is not being resubmitted pursuant to Article 7 para. 5 no. 3 point c submitted in a procedure pursuant to Article 4 (1) c) of Regulation (EU) No. 1024/2013?

If yes, please enter the reference number; if such a reference is not available, please enter details with a comparable identification purpose

1.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
2.	<input type="checkbox"/> No <input type="checkbox"/> Yes	
3.	<input type="checkbox"/> No <input type="checkbox"/> Yes	

If more than three pieces of information are not being resubmitted pursuant to Article 7 para. 5, then information about other items should be submitted pursuant to Article 7 para. 5 nos. 1 to 3 in a separate annex using the format provided above.

**f) Influence could be exerted over the management of the target undertaking of a comparable nature to a holding of 20% to 50%, although less than 20% or no capital share or voting rights are intended to be held.**

- No  
 Yes

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**g) Scope of the intended holding in the target undertaking:**

Current capital share		Current share of voting rights in per cent
in %	in euro	
Planned capital share		Planned share of voting rights in per cent
in %	in euro	
Nominal capital or share capital of the target undertaking in Euro		

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### 3. Information to submit

What binding information the annexes are required to contain in detail can be found in the Regulation of the FMA on Qualifying Holdings 2016 (EKV 2016). The annexes submitted must be numbered in accordance with the following table.

Brief description of the Annex	Annex no.:	Annex
Additional information about information not submitted again pursuant to Article 7 para. 5 pursuant to Point 2.g of this form	1.	attached not attached
Proof of the identity or legal existence of the party subject to notification requirements pursuant to Article 8 para. 1 no. 1 EKV 2016	2.	attached not attached
Copy of the current articles of association, the current memorandum of association or a comparable agreement pursuant to Article 8 para. 1 no. 2 EKV 2016	3.	attached not attached
List of the management bodies and other persons pursuant to Article 8 para. 1 no. 3 EKV 2016	4.	attached not attached
Statement about the business activities of the party subject to notification requirements, and where available the group to which it belongs, pursuant to Article 8 para. 1 no. 4 EKV 2016	5.	attached not attached
Analysis of the effects on the provision of information to the supervisory authority pursuant to Article 8 para. 1 no. 5 EKV 2016	6.	attached not attached
Declaration about investigations by other authorities or courts outside the financial sector in relation with the proposed acquisition pursuant to Article 8 para. 1 no. 6 EKV 2016	7.	attached not attached
Declaration about the intended changing of members of the management board of the target undertaking to Article 8 para. 1 no. 7 EKV 2016	8.	attached not attached
Curricula vitae pursuant to Article 8 para. 2 EKV 2016	9.	attached not attached
Additional information about legal persons with their place of incorporation in a third country pursuant to Article 8 para. 3 EKV 2016	10.	attached not attached
Additional information about sovereign funds pursuant to Article 8 para. 4 EKV 2016	11.	attached not attached
Additional information about private equity funds and hedge funds pursuant to Article 8 para. 5 EKV 2016	12.	attached not attached
Information in accordance with Article 9 EKV 2016		
Information about penal proceedings pursuant to Article 9 para. 1 no. 1 and Article 9 para. 2 EKV 2016	13.	attached not attached
Information about administrative penal proceedings pursuant to Article 9 para. 1 no. 2 EKV 2016	14.	attached not attached
Information about bankruptcy proceedings, settlement proceedings or comparable proceedings pursuant to Article 9 para. 1 no. 3 EKV 2016	15.	attached not attached

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	Information about enforced collection proceedings and measures pursuant to Article 9 para. 1 no. 3a EKV 2016	16.	attached not attached
	Information about supervisory authority proceedings pursuant to Article 9 para. 1 no. 4 EKV 2016	17.	attached not attached
	Information pursuant to Article 9 para. 1 no. 5 EKV 2016	18.	attached not attached
	Information about dismissals, redundancies and removal from a position pursuant to Article 9 para. 1 no. 6 EKV 2016	19.	attached not attached
	Information about administrative proceedings and proceedings under civil law pursuant to Article 9 para. 1 no. 7 point a EKV 2016	20.	attached not attached
	Information about disciplinary measures pursuant to Article 9 para. 1 no. 7 point b EKV 2016	21.	attached not attached
	Information and documentation about personal reliability pursuant to Article 9 para. 3 EKV 2016	22.	attached not attached
	Information pursuant to Article 9 para. 4 EKV 2016	23.	attached not attached
	Description of the group structure pursuant to Article 10 no. 1 point a EKV 2016	24.	attached not attached
	List of the supervised entities in the group pursuant to Article 10 no. 1 point b EKV 2016	25.	attached not attached
	Description of significant relationships between the entities in the group pursuant to Article 10 no. 1 point c EKV 2016	26.	attached not attached
	Analysis of the effects of the acquisition on the supervisory scope of consolidation pursuant to Article 10 no. 1 point d EKV 2016	27.	attached not attached
	Information about the businesses managed pursuant to Article 10 no. 2 EKV 2016	28.	attached not attached
	List pursuant to Article 10 no. 3 EKV 2016	29.	attached not attached
	Details about the financial and other interests that the party subject to notification requirements for the qualifying holding maintains pursuant to Article 11 EKV 2016	30.	attached not attached
	Statement about the financial circumstances of the party subject to notification requirements pursuant to Article 12 EKV 2016		
	Financial statements for the preceding three financial years pursuant to Article 12 para. 2 no. 1 EKV 2016	31.	attached not attached
	Reports about the audited financial statements for the preceding three years pursuant to Article 12 para. 2 no. 2 EKV 2016	32.	attached not attached
	Other information to be disclosed pursuant to Article 12 para. 2 no. 3 EKV 2016	33.	attached not attached
	List of assets pursuant to Article 12 para. 2 no. 4 EKV 2016	34.	attached not attached

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	Information about the consolidated financial statement pursuant to Article 12 para. 2 last sentence EKV 2016	35.	attached not attached
	Projected annual financial statements pursuant to Article 12 para. 2a EKV 2016	36.	attached not attached
	List and description of sources of income of the party subject to notification requirements pursuant to Article 12 para. 3 no. 2 EKV 2016	37.	attached not attached
	List of assets pursuant to Article 12 para. 3 no. 2 EKV 2016	38.	attached not attached
	List of collaterals and guarantees pursuant to Article 12 para. 3 no. 2a EKV 2016	39.	attached not attached
	Income tax declarations or income tax assessment notices or documents with a comparable nature for the last three calendar years pursuant to Article 12 para. 3 no. 3 EKV 2016	40.	attached not attached
	Credit ratings pursuant to Article 12 para. 4 EKV 2016	41.	attached not attached
	Statement about the own funds and third-party funds required for the acquisition pursuant to Article 13 para. 1 no. 1 EKV 2016 in conjunction with Article 13 para. 2 EKV 2016	42.	attached not attached
	Agreements and contracts in relation to the acquisition pursuant to Article 13 para. 1 no. 2 EKV 2016	43.	attached not attached
	Statement about joint actions pursuant to Article 13 para. 1 no. 5 EKV 2016	44.	attached not attached
	Details about the purchase price pursuant to Article 13 para. 1 para. 4 in conjunction with Article 12 para. 3 EKV 2016	45.	attached not attached
	Details about the market value of the target undertaking pursuant to Article 13 para. 1 no. 5 EKV 2016	46.	attached not attached
	Business plan or description of strategic objectives and plans in accordance with Article 14 EKV 2016	47.	attached not attached

#### 4. Contact person for enquiries:

Surname	
Forename(s)	
Telephone number (including area code)	
E-mail address	

**The party subject to notification requirements shall be responsible for ensuring that the information contained in the notification, or which is submitted at the FMA's request, is complete, correct and current.**

**Date and signature(s) of the party/parties subject to notification requirements**

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**to the Regulation of the Financial Market Authority (FMA) on the information that a party subject to notification requirements intending to acquire, increase, dispose of or reduce a qualifying holding in a credit institution, an insurance or reinsurance undertaking, an investment services provider, a payment institution or an electronic money institution, shall be required to submit to the FMA (Regulation on Qualifying Holdings 2016 – EKV 2016)**

**Notification Form pursuant to Article 4 para. 2 EKV 2016**

**Disposal of a qualifying holding /that a holding shall fall below the statutory limits for qualifying holdings**

To the

**Finanzmarktaufsichtsbehörde – FMA**

Receipt stamp
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**The following is hereby notified:**

- Intention to relinquish a qualifying holding**
- Intention for a holding to fall below the statutory limits for a qualifying holding**

**in the following\***

- credit institution:
- insurance or reinsurance undertaking:
- payment institution:
- electronic money institution:

Company name or designation	
Legal form	
Place of incorporation	
	Street, House Number
	Postcode
	City
	Country

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## 1. Information about the identity of the party subject to notification requirements

### a) Details, if the party subject to notification requirements is a natural person:

Surname		
Surname at birth		
Forename(s)		
Date of birth		
Place and country of birth		
Nationality		
Address of principle place of residence.		
	Street, House Number	
	Postcode	
	City	
	Country	
Telephone no. (incl. area code)		
E-mail address		

### b) Details, if the party subject to notification requirements is not a natural person:

Company name or designation		
Legal form		
Place of incorporation with postcode		
Country of incorporation		
Address of the principal place of business		
	Street, house number	
	Postcode	
	City	
	Country	
Commercial Register number or number of a comparable register entry		

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c) **Authorised recipient (where appointed):**

Surname or company name and legal form		
Forename(s)		
Date of birth		
Address		
	Street, house number	
	Postcode	
	City	
	Country	

d) **Authorised legal representative, where the party subject to notification requirements is represented by someone else:**

Surname or company name and legal form		
Forename(s)		
Date of birth		
Address		
	Street, house number	
	Postcode	
	City	
	Country	

2. **Further information about the party subject to notification requirements and the planned disposal of or reduction of the qualifying holding to a level below the statutory limit**

a) **The party subject to notification requirements is an entity as defined in Article 7 para. 3 no. 1 EKV 2016:**

- No
- Yes, the party subject to notification requirements is a/an:
- credit institution
  - insurance or reinsurance undertaking
  - investment firm or investment services provider
  - Pensionskasse* (pension company)
  - payment institution
  - electronic money institution

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**b) The party subject to notification requirements is an entity as defined in Article 7 para. 3 no. 2 EKV 2016:**

No

Yes, the party subject to notification requirements is a/an:

credit institution pursuant to Article 4 (1) (1) of Regulation (EU) No 575/2013

investment firm pursuant to Article 4 (1) (1) of Directive 2014/65/EU

insurance or reinsurance undertaking pursuant to Article 13 (1) or (4) of Directive 2009/138/EC

The competent supervisory authority/authorities is/are:

**c) Scope of the intended disposal/reduction of the holding in the target undertaking:**

Current capital share		Current share of voting rights in per cent
in %	in euro	
Intended capital share		Intended share of voting rights in per cent
in %	in euro	
<b>Nominal capital or share capital of the target undertaking in Euro</b>		

**d) Natural and legal persons, who whom it is planned to transfer the holding listed in point c. If there are several persons, then they should all be included in a special annex following the format below.**

Capital share to be transferred			Share of voting rights to be transferred in per cent
Intended acquirer no.	in %	in euro	
1			
2			

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**e) Details, if the intended acquirer is a natural person:**

Surname		
Surname at birth		
Forename(s)		
Date of birth		
Place and country of birth		
Nationality		
Address of the main place of residence.		
	Street, house number	
	Postcode	
	City	
	Country	

**f) Details, if the intended acquirer is not a natural person:**

Company name or designation		
Legal form		
Place of incorporation with postcode		
Country of incorporation		
Address of the principal place of business		
	Street, house number	
	Postcode	
	City	
	Country	
Commercial Register number or number of a comparable register entry		

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### 3. Information to submit

What binding information the annexes are required to contain in detail can be found in the Regulation of the FMA on Qualifying Holdings 2016 (EKV 2016). The annexes submitted must be numbered in accordance with the following table.

Brief description of the Annex	Annex no.:	Annex
Proof of the identity or legal existence of the party subject to notification requirements pursuant to Article 8 para. 1 no. 1 EKV 2016	1.	attached not attached
Copy of the current articles of association, the current memorandum of association or a comparable agreement pursuant to Article 8 para. 1 no. 2 EKV 2016 in the case of holdings falling below the statutory limits for qualifying holdings (Article 7 para. 4 EKV 2016)	2.	attached not attached
Information about additional acquirer(s) pursuant to point 2 d) of this form	3.	attached not attached

### 4. Contact person for enquiries:

Surname	
Forename(s)	
Telephone number (including area code)	
E-mail address	

**The party subject to notification requirements shall be responsible for ensuring that the information contained in the notification, or which is submitted at the FMA's request, is complete, correct and current.**

**Date and signature(s) of the party subject to notification requirements**

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