

Application form for credit institutions and investment firms from the United Kingdom when applying for a license pursuant to section 33 of the Danish Financial Business Act

<b>Contact information</b>	
Legal name of Applicant	
Competent authority	The Prudential Regulation Authority (PRA) <input type="checkbox"/> The Financial Conduct Authority (FCA) <input type="checkbox"/>
Autorisation status	Credit institution <input type="checkbox"/> Investment firm <input type="checkbox"/> Other (*) <input type="checkbox"/>  (* ) Please indicate kind of autorisation status:
FRN nr.	
Address	
Telephone number	
Email	
Designated contact point	
Name(s) of management	
Reference or hyperlink to Applicant's registration with the PRA/FCA	
<b>Application</b>	
<p><b>Q1:</b> Please indicate whether the Applicant has previously applied for and received a temporary and conditional license to carry out investment services and activities as well as ancillary services in Denmark to eligible counterparties and per se professional clients pursuant to section 33 of the Danish Financial Business Act.</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If "yes", please continue to Q2 If "no", please continue to Q3</p>	
<p><b>Q2:</b> Please indicate whether this application is identical to the previous application and whether the applied for investment services and activities, ancillary services as well as financial instruments are still covered by the Applicant's license with the PRA/FCA.</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If "yes", please provide the reference no. with the Danish Financial Supervisory Authority as indicated on the previous temporary and conditional section 33 license that has lapsed and continue to Sworn statement and Signature.</p>	

Reference no.: 65125/GB-\_\_\_\_\_

If "no", please continue to Q3

**Q3:**

Only for new Applicants and previous Applicants with changes to previous application. Please indicate the investment services and activities, ancillary services as well as financial instruments that the Applicant wishes to perform to eligible counterparties and per se professional clients in Denmark and is applying a license for under section 33 of the Danish Financial Business Act.

		Investment services and activities									Ancillary services						
		A1	A2	A3	A4	A5	A6	A7	A8	A9	B1	B2	B3	B4	B5	B6	B7
Financial instruments	C1																
	C2																
	C3																
	C4																
	C5																
	C6																
	C7																
	C8																
	C9																
	C10																
	C11																

Please place an (x) in the appropriate boxes.

Please confirm that the applied for investment services and activities, ancillary services as well as financial instruments are covered by the Applicant's license with the PRA/FCA.

Yes

No

If "yes", please continue to Sworn statement and Signature.

If "no", please be aware that the conditions for applying for a temporary and conditional license to carry out investment services, activities and ancillary services in Denmark to eligible counterparties and per se professional clients pursuant to section 33 of the Danish Financial Act are not fulfilled and that the application will consequently be rejected.

**Sworn statement and Signature**

The undersigned understands that the Danish Financial Supervisory Authority may require the Applicant to provide further information and/or documents at any time after the submission of this application.

**Sworn statement**

The undersigned declares to have the power of attorney to file this application on behalf of the Applicant.

Furthermore, the undersigned solemnly declares that the information provided is accurate and complete.

Yes

Name of authorized signatory	
Signature (to be signed on the printed version only)	
Date	