

**Notification of intention to establish a branch or change of branch particulars in another EEA state in accordance with Article 35(2) of the Markets in Financial Instruments Directive (2014/65/EU) (MiFID)[[1]](#footnote-1)**

(Articles 12 and17 of Commission Implementing Regulation (EU) 2017/2382)

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| **Firm Name:** |  |
| **Firm C Code (CBI Ref No):** |  |
| **Date:** |  |

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| **1. Contact Information** |
| **Type of Notification:** | Branch passport notification / change of branch particulars notification |
| **Member State in which the investment firm intends to establish a branch**: |  |
| **Name of the investment firm:** |  |
| **Address of the investment firm:** |  |
| **Telephone number of the investment firm:** |  |
| **Email of the investment firm:** |  |
| **Name of the contact person at the investment firm:** |  |
| **Name of the branch:** |  |
| **Address of the branch:**  |  |
| **Telephone number of the branch:** |  |
| **Email of the branch:** |  |
| **Name(s) of those responsible for the management of the branch:** |  |
| **Home Member State:** | Ireland |
| **Authorisation Status:** | Authorised by the Central Bank of Ireland |
| **Authorisation Date:** |  |

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| **2. Programme of Operations** |

**Intended investment services, activities and ancillary services provided by the branch\***

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|  |  | **Investment services and activities** | **Ancillary services** |
|  |  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| **Financial Instruments** | 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 11 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

\*Please place an (x) in the appropriate box (es).

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| **3. Business Plan and structural organisation of the branch** |

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| **Business plan**1. How will the branch contribute to the strategy of the firm/group?
2. What will the main functions of the branch be?
3. Describe the main objectives of the branch.
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| **Commercial Strategy**1. Describe the types of clients/counterparties the branch will be dealing with.
2. Describe how the firm will obtain and deal with these clients.
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| **Organisational structure**1. Briefly, describe how the branch fits into the corporate structure of the firm/group. (This may be facilitated by attaching an organisational chart.)
2. Set out the organisational structure of the branch, showing functional, geographical and legal reporting lines.
3. Who will be responsible for the branch operations on a day-to-day basis? Provide details of professional experience of the persons responsible for the management of the branch (Please attach CV).
4. Who will be responsible for the internal control functions at the branch?
5. Who will be responsible for dealing with complaints in relation to the branch?
6. How will the branch report to the head office?
7. Detail any critical outsourcing arrangements.
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| **Tied Agents[[2]](#footnote-2)**1. Will the branch use a tied

 agent?1. What is the identity of the

 tied agent?* Name
* Address
* Telephone
* E-mail
* Contact point
* reference or hyperlink to the public register where the tied agent is registered
 |  |
| **Systems & Controls**Provide a brief summary of arrangements for:1. safeguarding client money and assets;
2. compliance with the conduct of business and other obligations that fall under the responsibility of the Competent Authority of the host Member State according to Art 35(8) and record keeping under Art 16(6);
3. staff code of Conduct, including personal account dealing;
4. anti-money laundering;
5. monitoring and control of critical outsourcing arrangements (if applicable);
6. details of the accredited compensation scheme of which the investment firm is a member;
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| **Financial forecast**Attach a forecast statement for profit and loss and cash flow, both over an initial period of thirty six months. |  |

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| **Signed:** |  |
| **Name of Signatory:** |  |
| **Date:** |  |

1. For the purpose of a change of branch particulars notification, please complete only the parts of the form relevant to the notified changes. When the investment firm intends to make changes to the investment services, activities, ancillary services or financial instruments provided by the branch, the firm shall list all investment services, activities, ancillary services or financial instruments the that the branch will provide. [↑](#footnote-ref-1)
2. The investment firm shall submit a separate passport notification in respect of each tied agent the branch intends to use. [↑](#footnote-ref-2)