Application form for autorisation as an investment firm

All applicants seeking authorisation as an investment firm must submit their request via this form set out in Annex I of Commission Implementing Regulation (EU) [2017/1945](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32017R1945&qid=1532612511787&from=EN) of 19 June 2017, the sections of which refer to the information requests laid down in Commission Delegated Regulation (EU) [2017/1943](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32017R1943&qid=1527230490586) of 14 July 2016.

The complete application file and all the supporting documents must be filed with the department “Supervision of investment firms” of the CSSF. Moreover, an electronic version of the application file must be transmitted to the following email address: investmentfirms\_license@cssf.lu.

|  |  |
| --- | --- |
| Reference number: | insérer texte |
| Date: | insérer texte |

|  |
| --- |
| FROM: |
| Name of the applicant: | enter text |
| Address: | enter text |
|  |
| (Contact details of the designated contact person) |
| Name: | enter text |
| Telephone: | enter text |
| Email: | enter text |
|  |
| TO: |
| Member State: | Luxembourg |
| Comptent Authority: | Commission de Surveillance du Secteur Financier |
| Address: | L-2991 Luxembourg |
|  |
| (Contact details of the designated contact point) |
| Address: | L-2991 Luxembourg |
| Telephone: | (+352) 26 25 1 - 2483 |
| Email: | investmentfirms\_license@cssf.lu |
|  |
| Dear insert appropriate name,In accordance with Article 2 of the Commission Implementing Regulation (EU) 2017/1945 laying down implementing technical standards with regard to standard forms, templates and procedures for notification or provision of information provided for in Article 7(5) of Directive 2014/65/EU to ensure uniform conditions of application of Article 7(2) of that Directive, kindly find attached the authorisation application. |

|  |
| --- |
| * Person in charge of preparing the application:
 |
| Name: | enter text |
| Status/position: | enter text |
| Telephone: | enter text |
| Fax (if available): | enter text |
| Email: | enter text |
| * Nature of the application (tick the relevant box):
 |
| [ ]  Authorisation[ ]  Change to the authorisation already obtained |
|  |
|  |
| **CONTENT** |
| General information on the applicant firm |
| insérer texte |
| [please insert the information referred to under Article 1 of Commission Delegated Regulation (EU) 2017/1943 of the European Parliament and of the Council of 14 July 2016 supplementing Directive 2014/65/EU with regard to regulatory technical standards on information and requirements for the authorisation of investment firms. Please set out that information here or make reference to the relevant annexes containing the information] |
|  |
| Information on the capital |
| enter text |
| [please insert the information referred to under Article 2 of Commission Delegated Regulation (EU) 2017/1943. Please set out that information here or make reference to the relevant annexes containing the information] |
|  |
| Information on the shareholders |
| enter text |
| [please insert the information referred to under Article 3 of Commission Delegated Regulation (EU) 2017/1943. Please set out that information here or make reference to the relevant annexes containing the information] |
|  |
| Information on the management body and persons directing the business |
| enter text |
| [please insert the information referred to under Article 4 of Commission Delegated Regulation (EU) 2017/1943. Please set out that information here or make reference to the relevant annexes containing the information] |
|  |
| Financial information |
| enter text |
| [please insert the information referred to under Article 5 of Commission Delegated Regulation (EU) 2017/1943. Please set out that information here or make reference to the relevant annexes containing the information] |
|  |
| Information on the organisation |
| enter text |
| [please insert the information referred to under Article 6 of Commission Delegated Regulation (EU) 2017/1943. Please set out that information here or make reference to the relevant annexes containing the information] |