

Modifications of material importance, with prior approval of FINMA - Art. 8a para. 2 BO

Version 09/2022

General information

Institut:

Responsible person:

This form lists all information and documents required for a submission and is completed electronically.

For notifications concerning a role subject to the proper business conduct requirements, please use the form "Modifications concerning a role subject to the proper business conduct requirements".

It is imperative that all fields are completed, as these have an impact on the further course of the application submission.

Modification

Designation:

Detailed description of the modification:

Planned date of modification:

Indication of the reasons for the modification:

Impact of the change on the institut (in particular in financial, personnel and organizational terms):

Justification of the modification's eligibility for approval or authorization, including risk analysis:

Supplementary remarks:

Attachments:

New rows can be added to the table as required.

Document:

Attachment-Nr.:

Confirmation

The submission confirms that the information provided in this form to FINMA is complete and truthful and that it has been provided in full knowledge of the criminal law provisions of the Federal Act on the Swiss Financial Market Supervisory Authority (namely Art. 45 FINMASA) and the Federal Act on Banks and Savings Banks (namely Art. 49

BA). FINMA reserves the right to verify the information provided and, if necessary, to request additional information (cf. Art. 29 FINMASA). Furthermore, it is confirmed that all originals of the enclosures submitted with the form may be retained and made available to FINMA at any time.