

Methodology for completing and filing an “Application for entry in the list of tied agents”

pursuant to Article 32c of Act No. 256/2004 Coll., on Capital Market Undertakings, as amended, and pursuant to Article 12 of Decree No. 255/2008, on specimen forms and the content of their annexes for filing applications pursuant to the Capital Market Undertakings Act.

Handling the data message

1. The applicant (the person referred to in Article 32a of Act No. 256/2004 Coll., on Capital Market Undertakings, as amended) should send a data message containing the completed form to the following address: vazanizastupci@cnb.cz.
2. The subject line of the message should read: “Application for entry in the list of tied agents – *identification number of applicant*”.
3. The applicant should name the form file according to the specimen:
VZASTUPCE_identification number of applicant_dispatch date in YYYYMMDD format.xls.
(example data file name: VZASTUPCE_48136450_080602.xls).
4. The dispatched data rights must be furnished with the advanced electronic signature of the person authorised by the applicant to transmit the data message based on a qualified certificate issued by an accredited provider of certification services.
5. The applicant must not modify the structure of the form (in particular by deleting or adding sheets, changing their names, changing the order of columns, changing the headings of columns and lines, etc.).

How to fill in the form

On the “Represented person” sheet, the represented person fills in the following:

1. information on the represented person:
 - a) part A if the represented person is a natural person,
 - b) part B if the represented person is a legal entity.Fill in the delivery address only where it differs from the address of residence or the registered office address.
2. information on the person entrusted with transmitting the data report, i.e. part C.

On the “Tied agent” sheet, the represented person fills in information on one or more tied agents as follows:

1. In column 1 (“Number”), fill in the number of the record ranging from 1 to n, where n equals the number of records.
2. In column 2 (“Type of entry (New, Change, Deletion)”), fill in the type of the entry:
 - a) enter “N” if this is the first entry of a tied agent in the list of tied agents,
 - b) enter “Z” if this is a change in the information on a tied agent already recorded in the list or a change in the scope of the activities a tied agent is authorised to carry on,
 - c) enter “V” if this is the deletion of a tied agent from the list of tied agents.

3. In columns 3–19 containing identification data, enter the tied agent's identification data as follows:
 - a) fill in columns 3–13 if the tied agent is a natural person (fill in the birth number and identification number only for persons to whom they have been assigned),
 - b) fill in columns 14–19 if the tied agent is a legal entity (fill in the identification number only for entities to which it has been assigned).
4. In columns 20–206, enter "X" for the activities the tied agent is authorised to carry on.

General rules

1. If the type of entry is Z (Change), the represented person fills in the current identification data and the current scope of authorised activities for the tied agent in question.
2. A change in the scope of activities can mean extending as well as narrowing of the range of authorised activities.
3. If the type of entry is V (Deletion), the represented person fills in only the identification data of the tied agent. The tied agent will be deleted from the list of tied agents.
4. In the "Country" field in the address of the represented person and the tied agent, the represented person enters a code from the "Country code" column of the country code list on the "Country code list" sheet.
5. If the "Identification number" and "Birth number" fields are not filled in correctly for a tied agent (applicable only where these numbers have been assigned), the tied agent will not be entered in the list of tied agents.
6. Please enter birth numbers without a slash (e.g. 6010201234).