

## 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 (AoCMU), and Article 82(6) in conjunction with Article 79 of Act No. 427/2011 Coll., on Supplementary Pension Savings, as amended (AoSPS), and pursuant to Article 23 of Decree No. 233/2009 Coll., on applications, approval of persons and the manner of proving professional qualifications, trustworthiness and experience of persons, and on the minimum amount of funds to be provided by a foreign bank to its branch, as amended.

### Rules for filing an application

1. The represented person (the person referred to in Article 32a of Act No. 256/2004 Coll., on Capital Market Undertakings, as amended, and Article 74 of the AoSPS) should send a completed application through the registration and licensing system (**REGIS**).
2. Pursuant to Act No. 426/2011 Coll., on Retirement Savings, as amended (AoRS), and the AoSPS, an application for the registration of tied agents' activities can only be filed by a person already entitled to carry on activities under the laws referred to in this point and within the scope entered in the relevant list.
3. The application for the registration of a tied agent pursuant to the AoCMU and the application for the registration of other activities of a tied agent pursuant to the AoSPS should be filed **together in one application** (see the General Rules below).
4. The represented person should send the list of tied agents and the scope of their activities in an XML data file attached to the application.
5. The XML file can be created by
  - a) using the macro contained in the file VZ\_20121212.xls
  - b) on the basis of xsd schemas in the xml structure
6. The represented person will be notified of receipt of the application in an e-mail sent to the address entered when logging into REGIS.
7. If the application contains errors, the represented person will receive a list of those errors and will be asked to correct them. If the represented person does not have enough reference documents to correct the errors, we recommend deleting the incorrect records from the application, sending an application containing only error-free records and dealing with the erroneous records separately.
8. The represented person must not modify the structure of the xls form (by deleting or adding sheets, changing the names of sheets, 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 should enter 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.
2. information on the person entrusted with transmitting the data report, i.e. part C.

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

1. In column 1 (“Sequence number”), enter the sequence 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)”), indicate the type of entry.
  - a) enter “N” if this is the first entry of the tied agent in the list of tied agents,
  - b) enter “Z” if this is a change in the information on the tied agent already recorded in the list or a change in the scope of the activities that tied agent is authorised to carry on,
  - c) enter “V” if this is the deletion of the tied agent from the list of tied agents.
3. In columns 3–27 containing identification data, enter the tied agent’s identification data
  - a) fill in columns 3–17 if the tied agent is a natural person (enter the birth certificate number and identification number only for persons to whom they have been assigned),
  - b) fill in columns 18–27 if the tied agent is a legal entity (enter the identification number only for entities to which it has been assigned).
4. In columns 28–218, 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 should enter all the current identification data and the current scope of all authorised activities for the tied agent. If, for example, new activities in the area of pension savings pursuant to the AoRS or the AoSPS are being applied for while maintaining current activities pursuant to the AoCMU, then the requested pension activities as well as the applicant’s current activities pursuant to the AoCMU must be selected.**
2. A change in the scope of activities means either an extension or a narrowing of the range of authorised activities.
3. If the type of entry is V (Deletion), the represented person should only enter 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 should enter relevant code from the “Country code” column of the country code list on the “Country code list” sheet. *In accordance with the AoCMU, entry in the CNB’s list of tied agents is possible only for persons having their registered office, residence or place of business in the Czech Republic or another EU Member State if its laws do not provide for tied agents and hence make entry in the list of tied agents impossible.*
5. If the “Identification number” and “Birth certificate number” fields are not filled in correctly for the tied agent (where such numbers have been assigned), the tied agent will not be entered in the list of tied agents.
6. Please enter birth certificate numbers without slashes (e.g. 6010201234).
7. For conversion into XML format use the button on the “Tied agent” sheet which automatically converts the document into XML format.