Deregistration Matrix

daily policy maker, member of the supervisory body, co-policy maker,
holder of a qualified participation, executive, non-executive

**Group A en Group B**

**Explanation**

This form is used to notify the AFM of the resignation of a (co-)policy maker, member of a supervisory body, or holder of a qualified participation. Below, we provide an explanation of the information we require from you.

A resignation may also have implications for the existing collective. The potential implications are outlined on the next page.

**Notification Matrix**
We kindly ask you to complete this form and upload the signed version via the AFM Portal. If you are notifying the resignation of a co-policy maker, shareholder CSP, or a holder of a qualified participation, you do not need to complete questions 9 and 10.

**Reason for departure**In principle, the individual concerned may only leave their position after receiving approval from the AFM. However, certain circumstances may prevent this, such as death or other exceptional situations.
We ask you to explain in this Notification Matrix the reason for the departure and, if applicable, why the notification was submitted after the individual had already left their position.

**Role**
Please indicate the role for which you are notifying the resignation. The available options are:

* **Daily Policy Maker:** This includes individuals who formally hold the position of director (including through a holding company) and individuals who are effectively responsible for the daily management of your organization.
* **Co-Policy Maker:** Co-policy makers include (directors of) majority shareholders and other individuals who can exert substantial influence on the (daily) management of the organization.
* **Member of a Supervisory Body:** This includes individuals who formally hold a supervisory position within your organization, such as a supervisory director on a supervisory board.
* **Holder of a Qualified Participation:** This includes individuals whose interest in a company, whether direct (via share ownership or voting rights) or indirect (via a parent company or holding), represents at least ten percent of the issued share capital.

**Multiple Resignations**
If you wish to notify the resignation of more than one individual, we kindly ask you to submit a separate Notification Matrix for each person.

**Multiple Licenses**
If an individual needs to be deregistered under multiple licenses, we request that you submit a separate Notification Matrix for each licensed entity.

**Existing Collective: Size[[1]](#footnote-1)**
The daily management of the financial enterprise must be conducted by at least two natural persons. However, there may be circumstances where this is not feasible, such as in the case of death or other exceptional situations.
In such exceptional cases, we ask you to explain in this Notification Matrix the reason for a reduced management collective and how and within what timeframe this issue will be resolved.

**Existing Collective: Reassessment of Suitability[[2]](#footnote-2)**
If responsibilities are redistributed within the existing collective[[3]](#footnote-3), the AFM often requires a reassessment of suitability[[4]](#footnote-4). This is mandatory in cases of redistribution of responsibilities for the following key areas: chairmanship, investments[[5]](#footnote-5), risk management, and/or compliance.
The AFM expects the organization to notify these changes in task allocation in a timely manner and to ensure that the relevant policy maker(s) undergo a reassessment of suitability by the AFM. To facilitate this, you must submit a suitability assessment request via the AFM Portal, indicating that the application concerns a role change or increased responsibilities.

**Questions**
If you have any questions regarding the resignation process or this form, please contact us via email at: Ondersteuning\_Personentoetsingen@afm.nl.
Alternatively, you may leave a callback request if desired.

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| 1. Name of the licensed entity[[6]](#footnote-6)
 | Click here to enter text |
| 1. License holder reference (License number or AFM relationship number)
 | Click here to enter text |
| 1. Name and date of birth of the individual to be deregistered[[7]](#footnote-7)
 | Click here to enter text |
| 1. Date of termination of employment
 | Click here to enter text |
| 1. Did the individual leave their position before the notification was submitted?
 | [ ]  Yes[[8]](#footnote-8) (Please provide an explanation below) [ ]  No |
| Explanation for question 5 | Click here to enter text |
| 1. Has the individual been deregistered from the Dutch Chamber of Commerce’s trade register?
 | [ ]  Yes[[9]](#footnote-9) (Please provide an explanation below) [ ]  No [ ]  Not applicable  |
| Explanation for question 6 | Click here to enter text |
| 1. Role(s) of the departing director*(multiple roles may apply)*
 | [ ]  Daily Policy Maker[ ]  Member of the Supervisory Body[ ]  Co-policy maker (questions 9 and 10 do not need to be completed).[ ]  Holder of a qualified participation (questions 9 and 10 do not need to be completed).[ ]  Shareholder CSP (questions 9 and 10 do not need to be completed). |
| 1. Reason for termination of employment
 | Click here to enter text |
| 1. Does the collective consist of at least two individuals (or one individual in the case of a financial service provider) after the departure of the policy maker?
 | [ ]  Yes [ ]  No[[10]](#footnote-10) (Please provide an explanation below) [ ]  Not applicable, concerns deregistration of a supervisory board member. |
| Explanation for question 9 | Click here to enter text |
| 1. Who will take over the tasks and focus areas of the departing policy maker?
 | [ ]  A newly appointed policy maker will take over these tasks. The registration has already been submitted to the AFM.[ ]  A newly appointed policy maker will take over these tasks. The registration will be submitted to the AFM within 1 month. [ ]  A newly appointed policy maker will take over these tasks. The recruitment for this person is still ongoing, and the registration will take longer than 1 month (please provide details below).[ ]  The tasks will be redistributed within the current collective, and the license holder has confirmed that the policy makers are suitable for their new areas of responsibility. NOTE: If the departing policy maker was ultimately responsible for one or more of the following tasks and/or areas of responsibility, the suitability of the policy makers taking over these tasks must be reassessed by the AFM: chairmanship, investing[[11]](#footnote-11), risk management, and/or compliance. You must submit an assessment request via the AFM Portal, indicating that this is a change or increase in responsibilities.[ ]  Otherwise (please provide details below). |
| Explanation for question 10 | Click here to enter text |
| 1. Contact person for the notification
 | Click here to enter the contact person's name.Click here to enter the contact person's phone number.Click here to enter the contact person's email address. |
| 1. SignatureYou must print the form and have it signed by an authorized signatory.
 | By signing this form, you declare that this form has been completed to the best of your knowledge.Click here to enter your name.Click here to enter your position.Click here to select the date.Signature: |

1. Applicable to the collective of daily policy makers. [↑](#footnote-ref-1)
2. Applicable to the collective of daily policy makers and the collective of members of a supervisory body. [↑](#footnote-ref-2)
3. This refers to the collective of daily policy makers and the collective of members of a supervisory body. [↑](#footnote-ref-3)
4. As described in Section 1.5a of the Policy Rule on Suitability 2012 and the accompanying Explanation. [↑](#footnote-ref-4)
5. The focus area of Investments refers to the licensed activities of the respective enterprise. This may include, among others, investment services, portfolio management, investment activities, trading, management of investment funds, and crowdfunding services. [↑](#footnote-ref-5)
6. You must deregister the policy maker for each licensed entity. [↑](#footnote-ref-6)
7. If you wish to deregister multiple individuals at once, please complete a separate form for each individual per licensed entity. [↑](#footnote-ref-7)
8. Individuals can only leave the service once approval has been granted by the AFM. [↑](#footnote-ref-8)
9. Deregistration from the Chamber of Commerce trade register can take place once the AFM has approved the deregistration. [↑](#footnote-ref-9)
10. The day-to-day management of the financial institution must be determined by at least two natural persons. [↑](#footnote-ref-10)
11. The area of responsibility 'Investing' refers to the regulated activities of the relevant company, including investment services, portfolio management, investment activities, trading, managing investment institutions, and crowdfunding services. [↑](#footnote-ref-11)