

ANNEX A2

FORM FOR COMMUNICATING THE INTENTION OF CARRYING ON ACTIVITIES AND SERVICES IN ITALY BY BANKS IN ACCORDANCE WITH DL 25 MARCH 2019 n. 22

*Please fill out this form in electronic format and transmit it using the editable PDF template, without altering the format. Please refrain from sending scans of this document. Once completed, the file must be saved and named with the company name (for example XXXXX.pdf) and sent to the address **SERVIZIO.RIV.Costituzioni@bancaditalia.it**. If you have any questions, please contact the following telephone numbers 00 39 06 4792 4087/5698/5968.*

Institution's corporate name

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Institution's reference number (FCA Register)

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Contact details of the person in charge of activities related to the communication

Name

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Telephone number

--

e-mail address

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Form for communicating the intention of carrying on activities and services in Italy on a cross border basis

The bank confirms that its depositors will continue to be guaranteed by the UK Deposit Guarantee Scheme of which the institution is a member, in accordance with DL 22/2019

The bank confirms that investors will continue to be protected by the investor protection scheme of which the bank is a member, in accordance with DL 22/2019

The bank has joined the following alternative dispute resolution system for consumer disputes regarding banking and financial transactions and services, which is a member of Fin-Net, in accordance with DL 22/2019, art. 7 (2)

The bank confirms that its intention to carry on activities and services in Italy on a cross border basis already has been communicated to the competent UK Authority.

If the bank intends to continue providing all the activities provided so far, please fill out part 1 of the form. If the credit institution intends to continue providing only some of the activities provided so far, please fill out part 2) of the form; Part 2.1 is related to the activities to be carried on; Part 2.2 is related to activities to be ceased and includes a box to be filled with a brief description of the plan of termination of activities.

Part (1)

The bank intends to continue providing the following activities provided so far on a cross border basis:

Taking deposits and other repayable funds (EU Regulation N. 926/2014 Annex V, activity n.1)

All the activities provided so far other than activity n. 1 (EU Regulation N. 926/2014 Annex V, activities other than Taking deposits and other repayable funds and Directive 2014/65/UE, Annex V)

Part (2.1)

Activities to be continued on a cross border basis (EU Regulation N. 926/2014 Annex V):

Activities sub point 2

1 2 3 4a 4b 4c 4d 4e 4f 4g 5 6

7a 7b 7c 7d 7e 8 9 10 11 12 13 14 15

Activities sub point 3

Financial Instruments	Investment services and activities									Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	A 9	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1																
C2																
C3																
C4																
C5																
C6																
C7																
C8																
C9																
C10																
C11																

Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I), as amended by Directive 2014/65/UE (Mifid 2)

Part (2.2)

Activities provided so far on a cross border basis to be ceased (EU Regulation N. 926/2014 Annex V):

Activities sub point 2

1 2 3 4a 4b 4c 4d 4e 4f 4g 5 6

7a 7b 7c 7d 7e 8 9 10 11 12 13 14 15

Activities sub point 3

Financial Instruments	Investment services and activities									Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	A 9	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1																
C2																
C3																
C4																
C5																
C6																
C7																
C8																
C9																
C10																
C11																

Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I), as amended by Directive 2014/65/UE (Mifid 2)

Please provide details on the plan of termination of activities (*available space 3,000 characters*)

Form for communicating the intention of carrying on activities and services in Italy through a branch

The bank confirms that its intention of carrying on activities and services in Italy through a branch already has been communicated to the competent UK Authority.

If the bank intends to keep providing all the activities provided so far through a branch, please fill out part 1 of the form. If the bank intends to keep providing only some of the activities provided so far through a branch, please fill out part (2) of the form; Part 2.1 is related to the activities to be carried on; Part 2.2 is related to activities to be ceased and includes a box to be filled with a brief description of the plan of termination of activities.

Please note that according to the applicable regulatory regime, Italian branches of financial institutions established in the United Kingdom shall adhere to the Banking and Financial Ombudsman (see, www.arbitrobancariofinanziario.it/homepage/index.html?com.dotmarketing.htmlpage.language=3) as pointed out in the “Information for Italian customers of UK-based financial institutions providing services in Italy” published on the Bank of Italy’s website on 19 February 2019 (see, http://www.bancaditalia.it/media/notizia/information-for-italian-customers-from-uk-based-financial-institutions-operating-in-italy/?com.dotmarketing.htmlpage.language=1&pk_campaign=EmailAlertBdi&pk_kw=it).

Part (1)

The bank intends to continue providing the following activities provided so far through a branch:

Taking deposits and other repayable funds (EU Regulation N. 926/2014, Annex I, activity n.1)

All the activities provided so far other than activity n. 1 (EU Regulation N. 926/2014 Annex I, activities other than Taking deposits and other repayable funds and Directive 2014/65/UE, Annex 1)

Part (2.1)

Activities to be continued through a branch (EU Regulation N. 926/2014 Annex I)

Activities sub point 2

1 2 3 4a 4b 4c 4d 4e 4f 4g 5 6

7a 7b 7c 7d 7e 8 9 10 11 12 13 14 15

Activities sub point 3

Financial Instruments	Investment services and activities									Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	A 9	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1																
C2																
C3																
C4																
C5																
C6																
C7																
C8																
C9																
C10																
C11																

Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I), as amended by Directive 2014/65/UE (Mifid 2)

Part (2.2)

Activities provided so far through a branch to be ceased (EU Regulation N. 926/2014 Annex I):

Activities sub point 2

1 2 3 4a 4b 4c 4d 4e 4f 4g 5 6

7a 7b 7c 7d 7e 8 9 10 11 12 13 14 15

Activities sub point 3

Financial Instruments	Investment services and activities									Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	A 9	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1																
C2																
C3																
C4																
C5																
C6																
C7																
C8																
C9																
C10																
C11																

Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I), as amended by Directive 2014/65/UE (Mifid 2)

Please provide details on the plan of termination of activities (*available space 3,000 characters*)