

Qualifying shareholding – form E

New elements

Scope

Natural or legal persons owning a qualifying holding (qualifying shareholders) in one of the following financial institutions :

- Credit institutions governed by Belgian law
- Financial holdings and (banking-led) mixed financial holdings governed by Belgian law
- Stockbroking firms governed by Belgian law
- Stockbroking holdings and (stockbroking-led) mixed financial holdings governed by Belgian law
- Insurance companies governed by Belgian law
- Reinsurance companies governed by Belgian law
- Insurance holdings and (insurance-led) mixed financial holding companies governed by Belgian law
- Payment institutions governed by Belgian law
- E-money institutions governed by Belgian law
- Depository banks, central securities depositories and institutions providing support to a central securities depository governed by Belgian law
- Central counterparties governed by Belgian law

Legal references

- Law of 25 April 2014 on the legal status and supervision of credit institutions : Articles 3 28°, 18 and 46 to 56 and 212
- Law of 20 July 2022 on the legal status and supervision of stockbroking firms : Articles 3 72°, 6, 14, 45 to 54 and 83
- Law of 13 March 2016 on the legal status and supervision of insurance or reinsurance undertakings : Articles 15 44°, 39, 64 to 73, 443 and 470

- Law of 11 March 2018 on the legal status and supervision of payment institutions and electronic money institutions : Articles 10, 19, 25 to 33, 174 and 183 ¹
- Regulation (EU) No 909/2014 on central securities depositories : Article 27
- Royal Decree of 26 September 2005 on the legal status of settlement institutions and equivalent institutions : Article 14
- Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories : Article 30

Context

Natural or legal persons owning a qualifying holding in one of the financial institutions referred to above should notify the National Bank of Belgium (hereinafter « the NBB ») of any new information that could have a material impact on the assessment by the NBB of the five criteria for authorization of a qualifying holding.

¹ For payment institutions and e-money institutions, the definition of qualifying holding is provided in Articles 10 and 19 of the Law of 11 March 2018 which refers to Article 5, paragraph 1, point M) of Directive (EU) 2015/2366 of the European Parliament and of the Council of 25 November 2015 on payment services in the internal market, amending Directives 2002/65/EC, 2009/110/EC and 2013/36/EU and Regulation (EU) No 1093/2010 and repealing Directive 2007/64/EC (the PSD2) which refers also to Article 4, paragraph 1, point 36 of the Regulation (EU) 575/2013.

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Introduction

Date :

Name of the financial institution of which the notifier is a qualifying shareholder :

Percentage of the voting rights or of the shares in the capital held by the qualifying shareholder :

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Identity of the person who completed the form

AS NOTIFIER [²]

AS REPRESENTATIVE [²]

Natural Person

Last name :

First name :

Middle name (s) :

Also known as :

Date of birth :

City of birth :

Country of birth :

Nationality :

Postal address :

Street name and number :

Postal code :

Town/City :

Country :

Address of residence, if different from postal address :

Email address :

Phone number :

Legal person

Company name :

Legal status :

² If this statement is a joint statement completed by a single person on behalf of a group of persons who are related or who act in concert, please check both boxes.

Registered head office address :

Street name and number :

Postal code :

Town/City :

Country :

Postal address, if different :

Street name and number :

Postal code :

Town/City :

Country :

Email address :

Phone number :

LEI code

If there is no LEI code, company registration number³ :

Name of the signatory of the form :

Capacity of the signatory :

³ The indication of a company registration number is equivalent to confirmation that there is no LEI code.

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Identity of the notifying shareholder⁴

Natural Person

Last name :

First name :

Middle name (s) :

Also known as :

Date of birth :

City of birth :

Country of birth :

Nationality :

Postal address :

Street name and number :

Postal code :

Town/City :

Country :

Address of residence, if different from postal address :

Email address :

Phone number :

Legal person

Company name :

Legal status :

⁴ Only to be completed if the notifier is not the person mentioned in section 2.

Registered head office address :

Street and number :

Postal code :

Town/City :

Country :

Postal address, if different :

Street name and number :

Postal code :

Town/City :

Country :

Email address :

Phone number :

LEI code

If there is no LEI code, company registration number⁵ :

Name of the signatory of the form :

Capacity of the signatory :

Additional information to be provided if the notifier is a trust :

Name of the trust :

Legal form of the trust :

Name of the beneficiary or the ultimate beneficiary of the trust :

⁵ The indication of a company registration number is equivalent to confirmation that there is no LEI code.

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New information relating to the qualifying shareholder

Please indicate in as much detail as possible what new information may adversely affect the ongoing prudential assessment of the legal criteria applicable to the involved qualifying shareholder (e.g. elements which can have an impact on its reputation, its financial soundness, etc.).

Please list below any annexes that you are sending with this form. Please clearly identify each annex and indicate the number of pages for each one.

Each annex should bear a specific sequential number.

Statement of the signatory person

'I, the undersigned,

(surname and given name(s) of the person involved and capacity of this person) hereby declare that I have completed this form accurately and in good faith.

I hereby undertake to inform the supervisor immediately of any changes in relation to the information I have provided.'

Date and signature