

## **Factsheet – Information on submission of assessment documents for investment holding company management board and supervisory board members**

**Your company will be subject to supervision by De Nederlandsche Bank (DNB) based on the European Prudential Framework for Investment Firms that entered into force on 26 June 2021 (IFR/IFD) and due to the fact that your company holds a direct or indirect interest in an investment firm.**

### **1. Explanatory notes**

The fact that your company will be subject to supervision has several consequences. It means, for example, that you must comply with the new prudential regulations for investment firms on a consolidated basis, that you must report periodically to DNB, and that we will assess your management board members (and members of the supervisory board if there is one) for fitness and propriety prior to their appointment. This factsheet provides information on the assessments we conduct.

### **2. Assessment**

We assess whether incumbent and prospective management and supervisory board members are fit to suitable to fulfil their duties in terms of their fitness and whether their integrity is beyond doubt, i.e. their propriety. The suitability assessment is carried out on the basis of the [AFM and DNB Policy rule on suitability 2023](#).

If a holding company management board member has been tested before, for example by the Dutch Authority for the Financial Markets (AFM) as a management board member of the investment firm, we will take this into account in our assessment. In principle, [propriety assessments](#) are a one-time procedure. This means a change in position or remit does not require another propriety assessment, unless relevant new facts have emerged.

A [fitness assessment](#) is position-specific. This means that management and supervisory board members of investment holding companies will have their suitability reassessed, even if the person concerned has already been assessed by the AFM as a policymaker of the investment firm.

### 3. Application

In order to carry out the assessment, we ask that you submit the assessment documents for the persons to be assessed, together with the application for a declaration of no objection or – if applicable – the licence application. For more information on the assessment process, please consult our website: [Fit and proper assessments](#)

You will need to submit various documents with the assessment application. More information can be found here: [Documents to be submitted \(dnb.nl\)](#).

The applications for assessment must be submitted in My DNB using the "Application for initial assessment" form. See [My DNB Supervision services](#) for more information.

### 4. eHerkenning

Please note that you need an eHerkenning login token to submit the application(s). As applying for eHerkenning may take time, please apply for it as soon as possible after receiving this letter. For more information see the [eHerkenning](#) website.

If you have any questions, please contact us at [bobi@dnb.nl](mailto:bobi@dnb.nl) stating "assessment of holding company board members".

#### Disclaimer

To read more about the status of this statement, see the [Explanatory guide to DNB's policy statements](#) on Open Book on Supervision.