Annex 1

The application for the regulatory sandbox

|  |
| --- |
| 1. Information about the applicant |
| 1. Basic information  |  |  | | --- | --- | | Business name / Name and Surname |  | | Business Identification Number |  | | Registered seat / Address |  | | Website |  |  1. Contact person  |  |  | | --- | --- | | Name and Surname |  | | Position |  | | Email |  | | Phone |  |  1. Members of the statutory body of the applicant (if the applicant is a legal person)  |  |  | | --- | --- | | Name and Surname | Position and responsibilities | |  |  | |  |  | |  |  |      1. Classification of the applicant within the circle of participants. Please select category of applicant. (point 4 of the Operating rules of the regulatory sandbox)  |  | | --- | |  | |
| 1. Information about financial innovation |
| 1. Please, provide more details about financial innovation.  |  | | --- | |  |  1. What legislation within the competence of the NBS do you want to consult?  |  | | --- | |  |  1. What risks have you identified in relation to financial innovation and what measures will you take to minimise them?  |  | | --- | |  |      1. Detailed description of compliance with the criteria to enter into the regulatory sandbox.  |  | | --- | | The applicant's readiness to participate in the regulatory sandbox and readiness of financial innovation for testing | |  | | The existence of the need for testing | |  | | Innovativeness | |  | | Positive impacts on clients in the Slovak financial market and the absence of significant negative impacts on financial stability in the Slovak Republic | |  | |
| 1. Preparatory phase and testing |
| 1. Brief description of the tested financial innovation, which you propose to publish on the NBS’ website in the case of participation in the regulatory sandbox (the NBS is not bound by the proposal).  |  | | --- | |  |  1. Subject and proposed schedule of consultation meetings in the preparatory phase.  |  | | --- | |  |  1. Should testing in the regulatory sandbox be carried out in cooperation with the supervised entity? (If yes, please provide more details and attach an outsourcing agreement to this application in accordance with point 7 of the Operating rules of the regulatory sandbox)  |  | | --- | |  |  1. Will you apply for the issuance of authorisation to perform activities in the preparatory phase, or have you already submitted such a application to the NBS?  |  | | --- | |  |  1. Are you interested in cross-border testing? If so, please provide more information on cross-border testing.  |  | | --- | |  |  1. Please provide your idea of the testing you want to perform in the NBS’ regulatory sandbox.  |  | | --- | |  |  1. Do you have measurable parameters to evaluate the success/failure of testing? What are your success criteria?  |  | | --- | |  |  1. Please indicate your intended procedure, plan, and stages of testing. What time frame do you think will be needed?  |  | | --- | |  |  1. What specifically do you expect from the NBS during your participation in the regulatory sandbox?  |  | | --- | |  |  1. Do you anticipate that testing will involve clients? If so, please provide more details on the types of clients involved in testing.  |  | | --- | |  |  1. What is your communication strategy for testing in the regulatory sandbox?  |  | | --- | |  |  1. Please, define how you plan to address the risks of unsuccessful testing. Describe a plan for possible premature termination of testing in the regulatory sandbox.  |  | | --- | |  |  1. What are your plans after successfully completing testing in the regulatory sandbox?  |  | | --- | |  |  1. If you were not selected for participation in the NBS regulatory sandbox, what alternatives would you consider?  |  | | --- | |  |  1. Is there anything you would like to add or emphasize? If you deem it necessary, you can also attach additional documents  |  | | --- | |  | |
| 1. Declaration of honour |
| **Declaration**  I, the undersigned, certify that I am not a person who has been lawfully sentenced for a property-related criminal offense, an economic criminal offense, a criminal offense of corruption, a criminal offense committed in connection with my employment, profession, position or function, or an intentional criminal offense and in the case of a criminal offense committed intentionally, my conviction for such a criminal offense has not been obliterated or I am not deemed to have not committed any such offense.   |  |  | | --- | --- | | Name and Surname / Business name | Signature | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  |   Place............................... and date...................................  *(The Declaration on honour shall be signed by the applicant – a natural person. If the applicant is a legal person, then the Declaration on honour shall be signed on behalf of the legal person by its statutory body and, in its own name, separately by each member of the statutory body.)* |
| 1. Consent to the processing of personal data |
| **Declaration**  I hereby give my consent to the NBS to process my personal data, including sensitive personal data, in accordance with the conditions published on the NBS website.   |  |  | | --- | --- | | Name and Surname | Signature | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  |   Place............................... and date...................................  *(The consent to the processing of personal data shall be signed by each natural person whose personal data are listed in the application)* |
| 1. Familarisation with the Operating rules of the regulatory sandbox applicable from 1 January 2022 |
| **Declaration**  I, the undersigned, certify that I am familiar with the Operating rules of the regulatory sandbox applicable from 1 January 2022 (hereinafter “rules”) and I will abide by these rules.   |  |  | | --- | --- | | Name and Surname / Business name | Signature | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  |   Place............................... and date...................................  *(The declaration shall be signed by the applicant – a natural person. If the applicant is a legal person, then the declaration shall be signed on behalf of the legal person by its statutory body.)* |