

**Appendix no. 1**

*SPECIMEN*

(place and date) .....

**Declaration on the amount of advance payment  
for the cost of activities of Financial Ombudsman and his Office<sup>1</sup>  
for the ..... quarter of the year 20 ...**

*title page*

**TYPE OF ENTITY <sup>2</sup>**

national insurance institution – form A

foreign insurance institution – form B

universal pension company – form C

national payment institution or national institutions of electronic money – form D

office of payment services – form E

bank – form F

savings and credit unions – form G

investment fund company – form H

manager of alternative investment companies – form I

investment company – form J

lending institution – form K

**THE DECLARATION IS APPENDED WITH FORM <sup>3</sup>**

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<sup>1</sup> Cost of activities of Financial Ombudsman and his Office, hereinafter referred to as “costs of Ombudsman”.

<sup>2</sup> Put „X” in the box appropriate for a given type of entity and fill in only this form which is appropriate for a given type of entity. Declaration shall comprise of title page, where only one box appropriate for a given type of entity is marked, and filled in form appropriate for a given type of entity.

<sup>3</sup> Write down proper letter (A-J) of the filled in and appended form.

**FORM A**

**DECLARATION OF NATIONAL INSURANCE INSTITUTION**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**A.1 Next advance payment for the costs of Ombudsman<sup>4</sup> Amount in PLN**

A.1.1 Sum of ascribed gross sums of premiums collected in the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

A.1.2 Amount of the next advance payment (0,0138% of the amount from item A.1.1)

**A.2 First advance payment for the costs of Ombudsman<sup>5</sup> Amount in PLN**

A.2.1 Double sum of ascribed gross premiums collected during the first quarter when the activity was commenced by entity

A.2.2 Amount of first advance payment (0,0138% of the amount from item A.2.1)

**A.3 Date of realisation of bank transfer of the amount from item A.1.2 or item A.2.2**

.....(day, month, year)

A.3.1 Name and surname of the person completing information

A.3.2 Name and surname of the person confirming information

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<sup>4</sup> Mark box with „X” and fill in items A.1.1 and A.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>5</sup> Mark box with „X” and fill in items A.2.1 and A.2.2 in case when it is the first advance payment submitted by entity commencing its activity. National insurance institution commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM B**

**DECLARATION OF FOREIGN INSURANCE INSTITUTION**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**B.1 Next advance payment for the costs of Ombudsman<sup>6</sup> Amount in PLN**

B.1.1 Sum of ascribed gross premiums collected from insurance contracts concluded in connection with conducted insurance activity at the territory of the Republic of Poland, in the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

B.1.2 Amount of the next advance payment (0,015% of the amount from item B.1.1)

**B.2 First advance payment for the costs of Ombudsman<sup>7</sup> Amount in PLN**

B.2.1 Double sum of ascribed gross premiums collected from insurance contracts concluded in connection with conducted insurance activity at the territory of the Republic of Poland during the first quarter when the activity was commenced by entity

B.2.2 Amount of first advance payment (0,015% of the amount from item B.2.1)

**B.3 Date of realisation of bank transfer of the amount from item B.1.2 or item B.2.2**

.....(day, month, year)

B.3.1 Name and surname of the person completing information

B.3.2 Name and surname of the person confirming information

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<sup>6</sup> Mark box with „X” and fill in items B.1.1 and B.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of conducted insurance activity at the territory of the Republic of Poland.

<sup>7</sup> Mark box with „X” and fill in items B.2.1 and B.2.2 in case when it is the first advance payment submitted by entity commencing its insurance activity at the territory of the Republic of Poland. Foreign insurance institution commencing insurance activity at the territory of Poland submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM C**

**DECLARATION OF UNIVERSAL PENSION COMPANY**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**C.1 Next advance payment for the costs of Ombudsman<sup>8</sup> Amount in PLN**

C.1.1  $\frac{1}{4}$  of the value of assets of open pension fund, managed by universal pension company, according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

C.1.2 Amount of the next advance payment (0,00006% of the amount from item C.1.1)

**C.2 First advance payment for the costs of Ombudsman<sup>9</sup> Amount in PLN**

C.2.1  $\frac{1}{2}$  of the value of assets of open pension fund, managed by universal pension company, according to the state as of the end of the quarter during which the activity was commenced by entity

C.2.2 Amount of first advance payment (0,00006% of the amount from item C.2.1)

**C.3 Date of realisation of bank transfer of the amount from item C.1.2 or item C.2.2**

.....(day, month, year)

C.3.1 Name and surname of the person completing information

C.3.2 Name and surname of the person confirming information

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<sup>8</sup> Mark box with „X” and fill in items C.1.1 and C.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>9</sup> Mark box with „X” and fill in items C.2.1 and C.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Universal pension company commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM D**

**DECLARATION OF NATIONAL PAYMENT INSTITUTION OR NATIONAL INSTITUTION OF ELECTRONIC MONEY**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**D.1 Next advance payment for the costs of Ombudsman<sup>10</sup> Amount in PLN**

D.1.1 ¼ of own funds, according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

D.1.2 Amount of the next advance payment (0,06% of the amount from item D.1.1)

**D.2 First advance payment for the costs of Ombudsman<sup>11</sup> Amount in PLN**

D.2.1 ½ of own funds, according to the state as of the end of the quarter during which the activity was commenced by entity

D.2.2 Amount of first advance payment (0,06% of the amount from item D.2.1)

**D.3 Date of realisation of bank transfer of the amount from item D.1.2 or item D.2.2**

.....(day, month, year)

D.3.1 Name and surname of the person completing information

D.3.2 Name and surname of the person confirming information

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<sup>10</sup> Mark box with „X” and fill in items D.1.1 and D.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>11</sup> Mark box with „X” and fill in items D.2.1 and D.2.2 in case when it is the first advance payment submitted by entity commencing its activity. National payment institution or national institution of electronic money commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM E**

**DECLARATION OF OFFICE OF PAYMENT SERVICES**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**E.1 Next advance payment for the costs of Ombudsman<sup>12</sup> Amount in PLN**

E.1.1 value of payment transactions performed in the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

E.1.2 Amount of the next advance payment (0,00036% of the amount from item E.1.1)

**E.2 First advance payment for the costs of Ombudsman<sup>13</sup> Amount in PLN**

E.2.1 double value of payment transactions performed within the quarter during which the activity was commenced by entity

E.2.2 Amount of first advance payment (0,06% of the amount from item E.2.1)

**E.3 Date of realisation of bank transfer of the amount from item E.1.2 or item E.2.2**

.....(day, month, year)

E.3.1 Name and surname of the person completing information

E.3.2 Name and surname of the person confirming information

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<sup>12</sup> Mark box with „X” and fill in items E.1.1 and E.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>13</sup> Mark box with „X” and fill in items E.2.1 and E.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Office of payment services commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM F**

**DECLARATION OF BANK**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**F.1 Next advance payment for the costs of Ombudsman<sup>14</sup> Amount in PLN**

F.1.1  $\frac{1}{4}$  of the value of sum of balance assets, according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

F.1.2 Amount of the next advance payment (0,00066% of the amount from item F.1.1)

**F.2 First advance payment for the costs of Ombudsman<sup>15</sup> Amount in PLN**

F.2.1  $\frac{1}{2}$  of the value of sum of balance assets, according to the state as of the end of the quarter during which the activity was commenced by entity

F.2.2 Amount of first advance payment (0,00066% of the amount from item F.2.1)

**F.3 Date of realisation of bank transfer of the amount from item F.1.2 or item F.2.2**

.....(day, month, year)

F.3.1 Name and surname of the person completing information

F.3.2 Name and surname of the person confirming information

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<sup>14</sup> Mark box with „X” and fill in items F.1.1 and F.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>15</sup> Mark box with „X” and fill in items F.2.1 and F.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Bank commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM G**

**DECLARATION OF SAVINGS AND CREDIT UNION**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**G.1 Next advance payment for the costs of Ombudsman<sup>16</sup> Amount in PLN**

G.1.1 ¼ of the value of sum of balance assets, according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

G.1.2 Amount of the next advance payment (0,00066% of the amount from item G.1.1)

**G.2 First advance payment for the costs of Ombudsman<sup>17</sup> Amount in PLN**

G.2.1 ½ of the value of sum of balance assets, according to the state as of the end of the quarter during which the activity was commenced by entity

G.2.2 Amount of first advance payment (0,00066% of the amount from item G.2.1)

**G.3 Date of realisation of bank transfer of the amount from item G.1.2 or item G.2.2**

.....(day, month, year)

G.3.1 Name and surname of the person completing information

G.3.2 Name and surname of the person confirming information

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<sup>16</sup> Mark box with „X” and fill in items G.1.1 and G.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>17</sup> Mark box with „X” and fill in items G.2.1 and G.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Savings and credit union commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.



**FORM H**

**DECLARATION OF INVESTMENT FUND COMPANY**

**NAME, ADDRESS AND TELEPHONE DATA**

**Name**

**Address**

**Tax Identification Number (NIP)**

**H.1 Next advance payment for the costs of Ombudsman<sup>18</sup> Amount in PLN**

H.1.1 ¼ of value of sum of investment funds' assets, collective assets of securities portfolios and portfolios that include one or more financial instruments, managed by this investment fund company, calculated according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

H.1.2 Amount of the next advance payment (0,00006% of the amount from item H.1.1)

**H.2 First advance payment for the costs of Ombudsman<sup>19</sup> Amount in PLN**

H.2.1 ½ of the value of sum of investment funds' assets, collective assets of securities portfolios and portfolios that include one or more financial instruments, managed by this investment fund company, calculated according to the state as of the end of the quarter during which the activity was commenced by entity

H.2.2 Amount of first advance payment (0,00006% of the amount from item H.2.1)

**H.3 Date of realisation of bank transfer of the amount from item H.1.2 or item H.2.2**

.....(day, month, year)

H.3.1 Name and surname of the person completing information

H.3.2 Name and surname of the person confirming information

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<sup>18</sup> Mark box with „X” and fill in items H.1.1 and H.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>19</sup> Mark box with „X” and fill in items H.2.1 and H.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Investment fund company commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM I****DECLARATION OF MANAGER OF ALTERNATIVE INVESTMENT COMPANIES****NAME, ADDRESS AND TELEPHONE DATA****Name****Address****Tax Identification Number (NIP)****I.1 Next advance payment for the costs of Ombudsman<sup>20</sup>                      Amount in PLN**

I.1.1  $\frac{1}{4}$  of value of sum of investment funds' assets, collective assets of securities portfolios and portfolios that include one or more financial instruments, managed by this investment fund company, calculated according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

I.1.2 Amount of the next advance payment (0,00006% of the amount from item H.1.1)

**I.2 First advance payment for the costs of Ombudsman<sup>21</sup>                      Amount in PLN**

I.2.1  $\frac{1}{2}$  of the value of sum of investment funds' assets, collective assets of securities portfolios and portfolios that include one or more financial instruments, managed by this investment fund company, calculated according to the state as of the end of the quarter during which the activity was commenced by entity

I.2.2 Amount of first advance payment (0,00006% of the amount from item I.2.1)

**I.3 Date of realisation of bank transfer of the amount from item I.1.2 or item I.2.2** .....(day, month, year)

I.3.1 Name and surname of the person completing information

I.3.2 Name and surname of the person confirming information

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<sup>20</sup> Mark box with „X” and fill in items I.1.1 and I.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>21</sup> Mark box with „X” and fill in items I.2.1 and I.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Manager of alternative investment companies commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

**FORM J****DECLARATION OF INVESTMENT COMPANY****NAME, ADDRESS AND TELEPHONE DATA****Name****Address****Tax Identification Number (NIP)****J.1 Next advance payment for the costs of Ombudsman<sup>22</sup> Amount in PLN**

J.1.1 ¼ of average value of total income obtained within three full calendar years, prior to the year of the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

J.1.2 Amount of the next advance payment (0,012% of the amount from item J.1.1)

**J.2 First advance payment for the costs of Ombudsman<sup>23</sup> Amount in PLN**

J.2.1 double value of total income for the first quarter of conducted activity

J.2.2 Amount of first advance payment (0,012% of the amount from item I.2.1)

**J.3 Advance payment for the costs of Ombudsman to be paid by entity which period of conducted activity doesn't include full calendar year, in case when the advance payment is not the first one<sup>24</sup>****Amount in PLN**

J.3.1 Average value of total income obtained within full quarters of conducting activity, prior to the quarter for which the due advance payment is to be paid

J.3.2 Amount of advance payment to be paid by entity which period of conducted activity doesn't include full calendar year, in case when the advance payment is not the first one (0,012% of the amount from item J.3.1)

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<sup>22</sup> Mark box with „X” and fill in items J.1.1 and J.1.2 when the period of conducted activity by entity includes at least three full calendar years.

<sup>23</sup> Mark box with „X” and fill in items J.2.1 and J.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Investment company commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

<sup>24</sup> Mark box with „X” and fill in items J.3.1 and J.3.2 when the period of conducted activity by entity doesn't include full calendar year and it is not the first advance payment submitted by the entity commencing activity.

**J.4 Advance payment for the costs of Ombudsman to be paid by entity which period of conducted activity includes full calendar year but doesn't include two full calendar years <sup>25</sup>**

**Amount in PLN**

J.4.1 ¼ of value of total income obtained within the first full calendar year of conducting activity

J.4.2 Amount of advance payment to be paid by entity which period of conducted activity includes full calendar year, but doesn't include full calendar years (0,012% of the amount from item J.4.1)

**J.5 Advance payment for the costs of Ombudsman to be paid by entity which period of conducted activity includes two full calendar year but doesn't include three full calendar years<sup>26</sup>**

**Amount in PLN**

J.5.1 ¼ of average value of total income obtained within two full calendar years of conducting activity

J.5.2 Amount of advance payment to be paid by entity which period of conducted activity includes two full calendar years, but doesn't include three full calendar years (0,012% of the amount from item J.5.1)

**J.6 Date of realisation of bank transfer of the amount from item J.1.2, item J.2.2, item J.3.2, item J.4.2 or item J.5.2** .....(day, month, year)

J.6.1 Name and surname of the person completing information

J.6.2 Name and surname of the person confirming information

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<sup>25</sup> Mark box with „X” and fill in items J.4.1 and J.4.2 when the period of conducted activity by entity includes full calendar year but doesn't include two full calendar years.

<sup>26</sup> Mark box with „X” and fill in items J.5.1 and J.5.2 when the period of conducted activity by entity includes two full calendar years but doesn't include three full calendar years.

**FORM K****DECLARATION OF LENDING INSTITUTION****NAME, ADDRESS AND TELEPHONE DATA****Name****Address****Tax Identification Number (NIP)****K.1 Next advance payment for the costs of Ombudsman<sup>27</sup> Amount in PLN**

K.1.1 ¼ of assets' sum<sup>28</sup>, according to the state as of the end of the quarter prior to the quarter for which the due advance payment is to be paid

- continuation of activity

- termination of activity (advance payment established according to § 2 part 3 of the regulation)

K.1.2 Amount of the next advance payment (0,012% of the amount from item K.1.1)

**K.2 First advance payment for the costs of Ombudsman<sup>29</sup> Amount in PLN**

K.2.1 ½ of assets' sum<sup>26</sup> according to the state as of the end of the quarter during which the activity was commenced by entity

K.2.2 Amount of first advance payment (0,012% of the amount from item K.2.1)

**K.3 Date of realisation of bank transfer of the amount from item K.1.2 or item K.2.2**

.....(day, month, year)

K.3.1 Name and surname of the person completing information

K.3.2 Name and surname of the person confirming information

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<sup>27</sup> Mark box with „X” and fill in items K.1.1 and K.1.2 in case when the advance payment is submitted for the third or each consecutive quarter of activity conducted by entity.

<sup>28</sup> Assets' sum constitutes balance value of assets including solely receivables of a given lending institution from contracts, to which provisions of the law from the 12<sup>th</sup> May 2011 on consumer credit (Journal of Laws from 2016, item 1528 and from 2017 item 819) apply.

<sup>29</sup> Mark box with „X” and fill in items K.2.1 and K.2.2 in case when it is the first advance payment submitted by entity commencing its activity. Lending institution commencing activity submits first advance payment for the for the second quarter during which the activity is conducted, including conducting such activity in the first quarter.

