

Based on about six months of practice, and taking into account the views of the Member States as expressed in the framework of the FDI Screening Expert Group, the services of the European Commission, at the initiative of DG TRADE, have developed this form to improve the functioning of the cooperation mechanism set up by Regulation (EU) 2019/452. It aims to ensure that the 26 Member States and the European Commission, when receiving and examining a notification pursuant to said cooperation mechanism, have the key minimum pieces of information required to assess the impact on their security and public order (for the 26 receiving Member States and the European Commission) and on programmes and projects of Union interest for the European Commission. The logic behind this form is that by upgrading the quality of information, which is submitted to the cooperation mechanism, one speeds up its examination by the 26 Member States and the European Commission and enables the notifying Member State to finalize its investigation without delay.

The Member State where the foreign direct investment is planned or has been completed is invited to request the foreign investor or the undertaking in which the foreign direct investment is planned or has been completed to provide this information depending on the information already available to that Member State. It is in the interest of the foreign investor or the undertaking concerned to provide the information requested in order to be able to obtain the relevant decision without delay.

This form is without prejudice to any additional information requirements at the national level. Member States may request other information from the parties and their counsel/representatives. Before seeking authorization of a transaction, parties and counsel/representatives shall enquire about requirements for the submission of transaction-related information with the screening authority of the Member State.

For the purpose of the EU cooperation mechanism, it is the responsibility of the Member State to provide information to other Member States and the European Commission.

Request for information from the investor for the purposes of notifications pursuant to Article 6 of Regulation (EU) 2019/452

Name of the investor(s):	
Name of the target undertaking (<i>the entrepreneur to whom or the undertaking to which the capital is made available in order to carry on an economic activity in a Member State</i>):	

Please complete the following information (* = where available):

1. Information about the investment

Description of the investment (<i>please explain how the change in ownership or control of the target company is executed and how the new assets will fit into the company structure of the investor</i>)	
Approximate value of the investment¹ (in €)	
Planned date for completing the transaction (<i>either as a specific date/period or in function of the completion of ongoing authorisation processes</i>)	
Funding of the investment and its source² (<i>on the basis of the best information available, cf. Article 9(2)(e)</i>) Please explain the origin of the funds and the degree to which they come from external sources.	
What is the investor's business strategy behind this acquisition?³	
Does the investor appear financially able to ensure the continuity and proper operation of the target	

¹ If the investment subject to this notification is part of a broader transaction, please disclose the total value and the investment provided to the undertaking(s) the territory of the Member State undertaking the screening separately.

² If the investment subject to this notification is part of a broader transaction, please specify the funding of the investment into the companies established in the territory of the Member State undertaking the screening, as well as sources of funding for the transaction as a whole.

³ Please explain why the investor is interested in making the investment and the circumstances of the investment by the target

2. Information concerning (A) the undertaking in which the investment is planned or has been completed (“target undertaking”) or (B) a greenfield investment

Please indicate, whether the investment concerns a greenfield investment⁴:

- No
 Yes

If the answer is “yes”, please provide the information in Table B. If the answer is “no”, please provide the information in Table A

(* = where available)

Guidelines:

*Please complete the table below with information about the beneficiarie(s) of the investment **established in the Member State undertaking the screening procedure** and, if applicable, the ultimate controlling entity (most relevant entity within the ownership structure). If required, **you may add duplicates** of the table to capture details for each level of ownership for which information is available.*

*In case the beneficiary is part of a larger corporate group not headquartered in the **Member State undertaking the screening procedure**, please provide the information for the other legal entities of the same corporate group situated in other EU Member States, **if available**, in the column on the right side.*

If the ownership structure of the target is complex, please provide details on the direct beneficiary, its ultimate owner and any significant intermediate entities to the extent available.

If available, please provide an organigram to explain the horizontal and vertical relationship between the companies referred and the overall structure of the company group before and after the transaction.

Table A

	Company(-ies) subject to the screening procedure	Other legal entities of the same corporate group situated in other EU Member States (if applicable)*
Role of the company in the transaction	<i>For example:</i> <ul style="list-style-type: none"> - direct recipient of the investment (target) - significant intermediate entity - global ultimate owner - company group <p>...</p>	
Does this company carry on an economic activity in the Member State where the		

⁴ International greenfield investment typically involves the creation of a new company or establishment or facilities abroad, whereas an international merger or acquisition amounts to transferring the ownership of existing assets to an owner abroad.

investment is undergoing screening? ⁵		
Name of the company		
Address/domicile/registered office of the company		
Company's national registration number		
Intra-community VAT number		
Branch of industry/economic activities carried out <i>Please provide a brief description of the activities being carried out and include the relevant NACE sub-category to the greatest possible granularity (4-digits).</i>	<i>Description of Activity 1</i> NACE code*	<i>Description of Activity 1</i> NACE code*
	<i>Description of Activity 2</i> NACE code*	<i>Description of Activity 2</i> NACE code*
	<i>Description of Activity 2</i> NACE code*	<i>Description of Activity 2</i> NACE code*
Please explain the products, services and business operations of the company before the transaction ⁶		
Please explain the products, services and business operations of the company after the transaction is completed.* This is applicable to FDI resulting in a change of operations in the target undertaking		
Are - to your knowledge - substitute products available on the market?*		
Please provide information about the main competitors (national, European, global)*		
Does the company own any patents or other intellectual		

⁵ Art. 2.1: 'foreign direct investment' means an investment of any kind by a foreign investor aiming to establish or to maintain lasting and direct links between the foreign investor and the entrepreneur to whom or the undertaking to which the capital is made available in order to carry on an economic activity in a Member State, including investments which enable effective participation in the management or control of a company **carrying out an economic activity**.

⁶ Art. 2.1: 'foreign direct investment' means an investment of any kind by a foreign investor aiming to establish or to maintain lasting and direct links between the foreign investor and the entrepreneur to whom or the undertaking to which the capital is made available **in order to carry on an economic activity** in a Member State, including investments which enable effective participation in the management or control of a company carrying out an economic activity.

property rights relevant for a security or public order analysis?* <i>Please list them if available.</i>		
EU Member States in which the company conducts substantive business operations (e.g. through subsidiaries, branches and please provide the name(s) of those undertaking(s))		
Annual turnover* <i>(in €, over last fiscal year)</i> ⁷		
Total number of employees*		
Is the company subject to EU financial restrictive measures (sanctions)?⁸		
Is the company subject to restrictive measures by third countries?* ⁹		
Has the company received funding from projects or programmes of Union interest or participates directly or indirectly in the implementation of such projects or programmes?¹⁰	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify amount and relevant EU project or programme:	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify amount and relevant EU project or programme:
Does the target undertaking maintain business relations with a project or programme of Union interest? <i>(e.g. does</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify the project, the relevant EU programme and the type of business relation:	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify the project, the relevant EU programme and the type of business relation:

⁷ Please indicate if fiscal year does not correspond to calendar year.

⁸ The consolidated list of persons, groups and entities subject to EU financial sanctions can be downloaded from Financial Sanctions Database - FSF platform accessible via the following address: <https://webgate.ec.europa.eu/europeaid/fsd/fsf> . In order to access this platform you need to have an "EU Login" account. For further background on ownership and control in the context of EU sanction, please consult the [EU Best Practices for the effective implementation of restrictive measures](#) and [Commission Opinion of 19.6.2020 on Article 2 of Council Regulation \(EU\) No 269/2014](#). Please note that additional sectorial sanctions (not included in the FSF platform) could apply to the proposed transaction. Please visit www.sanctionsmap.eu for a full list of EU sanctions.

⁹ Possible source of information for U.S sanctions: <https://sanctionssearch.ofac.treas.gov/>

¹⁰ The Financial Transparency System (FTS) (https://ec.europa.eu/budget/fts/index_en.htm) allows to search the beneficiaries of funding from the EU budget implemented directly the Commission (at Headquarters or in EU delegations to non-EU countries) and other EU bodies such as executive agencies ('direct management'), and beneficiaries of the European Development Fund. Please note that the FTS does not provide information on funding from the EU budget implemented by both the Commission and Member States ('shared management'), or implemented indirectly by other international organisations or non-EU countries ('indirect management').

<i>the undertaking supply goods, technology, etc. to the project or programme?)</i>		
Listings on stock exchanges*	Trading code, Ticker or stock symbol	
1. <i>Country 1</i>		
2. <i>Country 2</i>		
Website of the target company/-ies*		

Ownership structure of the target undertaking – information on the ultimate owner and participation in the capital before the notified transaction	<ul style="list-style-type: none"> • <i>If the ownership structure is complex, please provide details on the ultimate owner and any significant intermediate entities.</i> • <i>When available, the information can also be presented in the form of a chart (as an Annex)</i>
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Table B: Greenfield investment

Name	
Location/Address of the new undertaking	
Country where the new undertaking is headquartered	
Company's national registration number*	
Intra-community VAT number*	
Date of incorporation*	
Branch of industry/economic activities carried out <i>Please provide a brief description of the activities being carried out and include the relevant NACE sub-category to the greatest possible granularity (4-digits).</i>	NACE codes*
<i>Description of Activity 1</i>	
<i>Description of Activity 2</i>	
<i>Description of Activity X</i>	
Please explain the products, services and business operations of the undertaking after the transaction is completed.	
Please provide information about the main competitors (national, European, global)*	
Estimated total number of employees*	
Website of the company*	

Ownership structure of the new	<ul style="list-style-type: none"> • <i>If the ownership structure is complex,</i>
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undertaking – information on the ultimate owner and participation in the capital after the notified transaction	<p><i>please provide details on the ultimate owner and any significant intermediate entities.</i></p> <ul style="list-style-type: none"> • <i>When available, the information can also be presented in the form of a chart</i>
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3. Investor

Guidelines:

Please complete the table below with information about the direct investor and, if applicable, the ultimate controlling entity (most relevant entity within the ownership structure). If required, you may add duplicates of the table to capture details for each level of ownership for which information is available (i.e. direct, intermediary, and ultimate investor(s)). If the ownership structure is complex, please provide details on the direct acquirer, and where available, the ultimate owner and any significant intermediate entities. If available, please provide an organigram to explain the horizontal and vertical relationship between the companies referred.

In case the investment is made by multiple investors, please provide the information above for each investor separately by multiplying the table hereunder. If available, please provide an organigram to explain the horizontal and vertical relationship between the companies referred.

In case the investor is part of a larger corporate group, please provide the information on “annual turnover of the investor” and “total number of employees” for the entire corporate group as well, if available.

(* = where available)

Role of the company in the transaction	<p><i>For example:</i></p> <ul style="list-style-type: none"> - <i>direct investor</i> - <i>holding company created for the purpose of executing the investment</i> - <i>100% owner of a holding company without any other significant business activity</i> - <i>significant intermediate entity</i> - <i>global ultimate owner</i> ...
Name	
Address/domicile/registered office	
Country under whose laws the company is duly constituted or otherwise organised	
<i>If the entity is a natural person, please indicate the nationality/ies of this natural person.</i>	
Company’s national registration number	
Date of incorporation	

Branch of industry/economic activities carried out <i>Please provide a brief description of the activities being carried out and include the relevant NACE sub-category to the greatest possible granularity (4-digits).</i>	NACE code*¹¹
<i>Description of Activity 1</i>	
<i>Description of Activity 2</i>	
<i>Description of Activity X</i>	
Please explain the products, services and business operations of the company. <i>If available, please explain if the investment is likely to result in a significant change in the profile or main activities of the investor.</i>	
Please provide information about the main competitors (national, European, global)*	
EU Member States in which the company conducts substantive business operations <i>(e.g. through subsidiaries or branches and please provide the name(s) of those undertaking(s))</i>	<ol style="list-style-type: none"> 1. Member State / name of undertaking 2. Member State / name of undertaking 3. Member State / name of undertaking
Annual turnover <i>(in €, over last fiscal year)^{12*}</i>	
Total number of employees*	
Is the company subject to EU financial restrictive measures (sanctions)?¹³	
Is the company subject to restrictive measures by third countries?* ¹⁴	
Listings on stock exchanges*	Trading code, Ticker or Stock symbol
1. Country 1	xxx
2. Country x	Xxx
Website of the company*	

Ownership structure of the investor,	<ul style="list-style-type: none"> • <i>If the ownership structure is complex,</i>
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¹¹ NACE is the European standard classification of productive economic activities. NACE presents economic activities partitioned in such a way that a NACE code can be associated with a statistical unit carrying them out. The NACE codes can be found in [RAMON, the Eurostat database for NACE codes](#).

¹² Please indicate if fiscal year does not correspond to calendar year.

¹³ The consolidated list of persons, groups and entities subject to EU financial sanctions can be downloaded from Financial Sanctions Database - FSF platform accessible via the following address: <https://webgate.ec.europa.eu/europeaid/fsd/fsf> . In order to access this platform you need to have an "EU Login" account. For further background on ownership and control in the context of EU sanction, please consult the [EU Best Practices for the effective implementation of restrictive measures](#) and [Commission Opinion of 19.6.2020 on Article 2 of Council Regulation \(EU\) No 269/2014](#). Please note that additional sectorial sanctions (not included in the FSF platform) could apply to the proposed transaction. Please visit www.sanctionsmap.eu for a full list of EU sanctions.

¹⁴ Possible source of information for U.S sanctions: <https://sanctionssearch.ofac.treas.gov/>

including information on its ultimate owner(s) and participation in the capital (cf. Article 9(2)(a))

please provide details on the direct acquirer, the ultimate owner and any significant intermediate entities.

- *When available, the information can also be presented in the form of a chart (as an Annex)*

3. Is/was the investment undergoing screening subject to assessment, authorisation, monitoring or other scrutiny pursuant to EU or national rules?

Is (or will) the transaction (be) subject to merger review under the EC Merger Regulation¹⁵?

Yes – case number¹⁶:

Yes but the case has not been filed for Merger Review yet. Planned date or timeframe of filing: Click or tap to enter a date.

No

Is the investment subject to another assessment, authorisation or monitoring in the Member State undertaking the screening, in another Member State or in a third country (e.g. domestic competition control, prudential supervision, sectoral authorisation or certification)? *

No

Yes, please specify type of scrutiny and country undertaking the scrutiny:

4. Any additional information that you wish to disclose for the assessment

¹⁵ Council Regulation (EC) No 139/2004 of 20 January 2004 on the control of concentrations between undertakings.

¹⁶ Please refer to the database of Merger Cases:
https://ec.europa.eu/competition/eojade/isef/index.cfm?clear=1&policy_area_id=2