

## DECLARATION OF HONOUR FOR NATURAL PERSONS

(The declaration shall be filled in electronically and a signed paper version shall be sent to the CSSF)

All fields should be filled in. Where "not applicable" or "nil" please indicate accordingly.

The processing of personal data submitted through this form has been notified to the National Commission for Data Protection. Your personal data will only be processed within the CSSF's remit and will not be transferred to any other entity or organisation outside the CSSF except with your prior consent or if so required by law or by a competent authority. Please note that Chapter VI of the Law of 2 August 2002 concerning the protection of individuals with regard to the processing of personal data grants you certain rights, such as, among others, the right to access and rectify data concerning you.

1. Identification of the undersigned person	
Last name of the undersigned (as indicated on the identity card or passport)	
First name(s) of the undersigned (as indicated on the identity card or passport)	
Professional address, email address and phone number	
Private domicile and phone number	
Country(ies) of residence in the last five years (if different from above address)	
Date and place of birth	
Identity card or passport number	
Nationality(ies) of the undersigned (if the undersigned has more than one nationality, all nationalities should be listed)	
Social Security Identification Number	

<b>2. Other information</b>	
Directorships of the undersigned in other commercial companies	
Any direct and indirect shareholdings of the undersigned, regardless of the percentage of the shareholding, in a commercial company (please specify if the company is listed or supervised)	
Position applied for (official title; position within corporate body; person in charge of day to day management; shareholder)	
Entity to which the position relates (and CSSF code, if available)	
Other professional activities	
Close relations (especially of economic, financial or contractual nature, or family links, if there is a common property interest <sup>1</sup> ) with other directors or managers of the legal person, and with any investor or shareholder of the legal person (> 10% shareholdings).	

<sup>1</sup> Within the meaning of the "EBA Guidelines on the assessment of the suitability of members of the management body and key function holders", Annex 1, point 6 (document EBA/GL/2012/06) of 22 November 2012.

Professional qualifications / membership of any professional bodies	
<b>I, the undersigned _____ declare on my honour:</b>	
a) never having been subject or currently not being subject to bankruptcy, insolvency, moratorium, controlled management, suspension of payments, court ordered liquidation or reorganisation or any similar procedure generally affecting the rights of creditors;	
b) never having been or currently not being director, manager or having a significant influence in a company, legal person or any other legal entity which has been subject or is subject to bankruptcy, insolvency, moratorium, controlled management, suspension of payments, court ordered liquidation or reorganisation or any similar procedure generally affecting the rights of creditors, or which had or currently has a significant influence on a company subject to these proceedings;	
c) never having had any criminal records relating to my activities, nor having been the subject to any criminal investigations or criminal proceedings, warrant of arrest, surrender procedure, nor having been subject to preventative detention, to a prison sentence, to a criminal fine, to any other criminal sanction nor having been subject to any civil <sup>2</sup> /administrative proceedings and disciplinary measures relating to my activities (including disqualification as a company director and/or in relation with bankruptcy, insolvency or similar procedures) nor currently being subject to any such investigation, proceedings or measures described above;	
d) never having been or currently not being subject to investigations, enforcement proceedings or sanctions by a supervisory authority <sup>3</sup> (including the CSSF);	
e) never having been or currently not being director, manager or shareholder of an entity that has been subject or is currently subject to investigations, enforcement proceedings or sanctions by a supervisory authority (including the CSSF);	
f) never having been subject to a refusal or a withdrawal of registration, authorization, membership or license to carry out a trade, business or profession; or to the withdrawal, revocation or termination of registration, authorization, membership or license, or expulsion by a regulatory or government body;	
g) not having been dismissed from employment or a position of trust, fiduciary relationship or similar situation, nor having been asked to resign from employment in such a position (e.g. alleged serious infringement of contractual obligations);	

<sup>2</sup> Any civil action directed personally against the undersigned (e.g. damages relating to the exercise of the profession).

<sup>3</sup> Information to be also provided if an appeal is still possible or if an appeal has been lodged.

<p>h) already having been subject to an assessment of my professional repute / reputation / suitability / properness / standing by an authority of the financial sector</p> <p>(please insert name of the relevant supervisory authority as well as the function assessed and attach evidence of the outcome of this assessment, if applicable);</p>
<p>i) already having been subject to a previous assessment by another authority from another non-financial sector, i.e.</p> <p>(please insert name of the relevant authority and attach evidence of the outcome of this assessment, if applicable);</p>
<p>j) having an insurance policy covering all risks arising from my activities (only applicable if the undersigned is acting as a natural person).</p>

<p><b><i>Possible remarks or comments of the undersigned (on the items above, in particular if one of the above items cannot be confirmed by the undersigned).</i></b></p>
<p>By signing this declaration of honour, the undersigned commits to inform the CSSF without delay in case one of the elements covered by this declaration was to change in the future.</p>
<p><b>The undersigned recognises and accepts that if this declaration of honour becomes or is incorrect, his/her professional propriety/repute shall be compromised.</b></p>
<p><b>By signing this declaration of honour, the undersigned commits to deal with the CSSF in an open and cooperative way and to disclose appropriately and actively any information of which the CSSF would reasonably expect notice.</b></p>

<p>In case this declaration of honour is not the first declaration filed with the CSSF, the undersigned shall indicate the date of the previous declaration.</p>	
<p>Place of signature</p>	
<p>Date of signature</p>	
<p>Signature</p>	