

In case of discrepancies between the French and the English text, the French text shall prevail

## **DECLARATION OF HONOUR FOR LEGAL PERSONS**

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

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 legal person

Official name of the legal person (as indicated in the articles of association)	
Official legal form of the legal person	
Address, email address and phone number of the registered office of the legal person	
Registration number of the Luxembourg trade and companies register (or equivalent register for a foreign legal person)	
Directorships of the legal person in other commercial companies (particularly in the financial sector)	
Important shareholdings (> 10%) of the legal person in listed companies or other supervised entities	

## 2. Identification of the undersigned natural person acting as a representative for the legal person

Last name of the undersigned representative of the legal person (as it appears on the identity card or passport)	
First name(s) of the undersigned representative of the legal person (as it appears on the identity card or passport)	
Position/function of the representative within the legal person	
Professional address, email address and phone number	
Private address and phone number	
Date and place of birth	
Identity card or passport number	
Nationality of the undersigned	
Social Security Identification Number	
Directorships of the undersigned in other commercial companies (particularly in the financial sector)	

Important shareholdings (> 10%) of the undersigned in listed companies or other supervised entities	
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).	
Professional qualifications / membership of any professional bodies	

**I, the undersigned, \_\_\_\_\_, acting as a representative of the legal person declare on my honour, that the legal person I represent**

- a) has never been or is currently not subject to any bankruptcy, insolvency, moratorium, controlled management, suspension of payments, court ordered liquidation or reorganisation or any similar procedure generally affecting the rights of creditors;
- b) has never been or is currently not director, manager, administrator or does not have 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;

<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.

c) has never had criminal records (fine or other criminal sanction) relating to its activities and has never been subject to any criminal investigations or proceedings relating to its activities, to civil<sup>2</sup>/administrative and disciplinary proceedings relating to its 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 measure described above;

d) has never been subject or is currently not subject to investigations, enforcement proceedings or sanctions by a supervisory authority<sup>3</sup> (including the CSSF);

e) is not director 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) has never been subject to a refusal or a withdrawal of registration, authorisation, membership or licence to carry out a trade, business or profession; or to the withdrawal, revocation or termination of registration, authorisation, membership or licence, or expulsion by a regulatory or government body;

g) has never been dismissed from a position of trust, fiduciary relationship or similar situation (e.g. alleged serious infringement of contractual obligations);

h) is not affected by proceedings (such as those under a) to e) above) involving a legal entity of the group or network to which the legal entity belongs;

i) has already been subject to an assessment of reputation by an authority of the financial sector \_\_\_\_\_ (please insert name of the relevant supervisory authority and attach evidence of the outcome of this assessment, if applicable);

j) has already been subject to a previous assessment by another authority from another non-financial sector, i.e. \_\_\_\_\_ (please insert name of the relevant authority and attach evidence of the outcome of this assessment, if applicable);

k) has an insurance policy covering all risks arising from its activities (if applicable).

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<sup>2</sup> Any civil action directed against the legal person (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.

**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).**

By signing this declaration of honour, the undersigned and the legal person commit to inform the CSSF without delay in case one of the elements covered by this declaration was to change in the future.

**The undersigned recognises and accepts that if this declaration of honour becomes or is incorrect, disciplinary proceedings could be engaged in matters of professional propriety/repute.**

**By signing this declaration of honour, the undersigned and the legal person commit 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.**

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.

Place of signature

Date of signature

Signature