

**SELF-DECLARATION OF
GOOD REPUTE**

**according to article 27 of Regulation N°909/2014 of the
European Parliament and of the Council of 23 July
2014 on improving securities settlement in the
European Union and on central securities depositories
and amending directives 98/26/EC and 2014/65/EU and
Regulation (EU) N°236/2012**

(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.

Having regard to **Article 27 (1) and (4)** of Regulation (EU) N°909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) N° 236/2012 requiring that the senior Management of a CSD shall be of **sufficiently good repute and experience** so as to ensure the sound and prudent management of the CSD;

Having regard to **Article 13** and **Article 38** of Commission Delegated Regulation (EU) 2017/392 of 11 November 2016 supplementing Regulation (EU) N°909/2014 of the European Parliament and of the Council with regard to regulatory technical standards on authorization, supervisory and operational requirements for central securities depositories (hereinafter “the RTS”);

Having regard to **Table 2 of Annex 1 “Forms and templates for the CSD application for authorization”** included in Commission Implementing Regulation (EU) 2017/394 of 11 November 2016 laying down implementing technical standards with regard to standard forms, templates and procedures for authorization, review and evaluation of central securities depositories, for the cooperation between authorities of the home Member State and the host Member State, for the consultation of authorities involved in the authorization to provide banking-type ancillary services, for access involving central securities depositories, and with regard to the format of the records to be maintained by central securities depositories in accordance with Regulation (EU) N°909/2014 of the European Parliament and of the Council (hereinafter “the ITS”);

The CSSF has established this self-declaration of good repute.

This self-declaration of good repute has to be filled out by each member of the senior management and each member of the management body of the applicant CSD.

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, phone number	
Private domicile and phone number:	
Country(ies) of residence in the last ten years (if different from the address above)	
Date and place of birth	
Identity card or passport number	
Nationality of the undersigned	
Social security identification number	

2. Other information

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 (Member of senior management; member of management body)	
Other professional activities	
Close relations (especially of economic, financial or contractual nature, or family links) 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	
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I, the undersigned, _____ declare on my honour :

1) never having been convicted of any criminal or administrative offence in connection with the provision of financial or data services or in relation to acts of fraud or misappropriation of funds.

- 2) never having been subject to an adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority, a government body or agency or never having been subject to any ongoing proceedings;
- 3) never having been subject to an adverse judicial finding in civil proceedings before a court in connection with the provision of financial or data services, or fraud in the management of a business;
- 4) never having been members of the management body or senior management of an undertaking whose registration or authorization was withdrawn by a regulatory body while connected to the undertaking at least one year before the date of the withdrawal of authorization or registration;
- 5) never having been refused the right to carry on any type of activities which require registration or authorization by a regulatory body;
- 6) never having been a member of the management body or of the senior management of an undertaking against whom insolvency proceedings have been opened at least one year before proceedings have been opened;
- 7) never having been a member of the management body or the senior management of an undertaking that was subject to a sanction by a regulatory body while he/she were connected to the undertaking at least one year before such a sanction was imposed;
- 8) never having been otherwise fined, suspended, disqualified or subject to any other sanction in connection with the provision of financial or data services by a government, regulatory or professional body;
- 9) never having been disqualified from acting as a director or in any other managerial capacity, dismissed from employment or other appointment in an undertaking as a result of misconduct or malpractice.

The compliance to the requirement under 1.) as well as the details regarding any criminal and administrative sanctions imposed on a member in connection with the provision of financial or data services or in relation to acts of fraud or misappropriation of funds as required by article 13 paragraph 1 (b) of the RTS shall be proven by an appropriate official certificate under the form of an Extract from police records (“*extrait de casier judiciaire*”) issued in the two months preceding the submission of the authorization to the CSSF by the Luxembourg Ministry of Justice concerning the criminal sanctions and concerning the administrative sanctions, by any other official document listing the administrative sanctions issued in the two months preceding the submission of the authorization to the CSSF, where available.

In case, no official document listing the administrative sanctions issued in the two months preceding the submission of the authorization to the CSSF is available, the self-declaration remains required for this point.

For the member of the management body or of the senior management with a different country of residence within the 10 years preceding the submission of the authorization, the compliance to the requirement under 1.) as well as the details regarding any criminal and administrative sanctions imposed on a member in connection with the provision of financial or data services or in relation to acts of fraud or misappropriation of funds as required by

article 13 paragraph 1 (b) of the RTS shall be proven by an appropriate official certificate issued by any authority of the relevant country in the two months preceding the submission of the authorization to the CSSF.

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 self-declaration, the undersigned commits to inform the CSSF without delay in case one of the elements covered by the declaration was to change in the future

The undersigned recognizes and accepts that if this self-declaration becomes or is incorrect, his/her professional propriety/repute shall be compromised;


By signing this self-declaration, 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

In case this self-declaration is not the first with the CSSF, the undersigned shall indicate the date of the previous declaration.

Place of signature

Date of signature

Signature



Annexes:

1. Curriculum vitae setting out the experience and knowledge of the applicant member;
2. Extract from police records (“extrait de casier judiciaire”) ;
3. Administrative sanctions list (if available).