DECLARATION OF HONOUR
FOR NATURAL PERSONS

The declaration shall be filled in electronically and submitted to the CSSF either in paper form bearing a handwritten signature or in electronic form bearing a qualified electronic signature within the meaning of Regulation (EU) No 910/2014 authenticating the natural person and holding his/her personal liability for all the information provided in this declaration of honour.

All fields must be filled in. Please indicate “not applicable”, “n/a” or “nil” where relevant.

The CSSF processes personal data submitted through this form in accordance with the GDPR (Regulation (EU) 2016/679) as detailed in its [privacy policy](https://www.cssf.lu/en/terms-of-service-and-privacy-policy/) published on the CSSF website [www.cssf.lu](http://www.cssf.lu/en/).

# Identification of the undersigned person

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

# Other information

|  |
| --- |
| Is the undersigned acting in the capacity of:[ ]  candidate for the audit profession; or[ ]  statutory auditor (« réviseur d’entreprises »); or[ ]  service provider from a Member State by way of the free provision of services; or[ ]  member of the administrative or management body of an audit firm; or[ ]  shareholder and/or beneficial owner of an audit firm. |
| Is the undersigned currently subject to any legal proceedings? (If so, please contact the CSSF)[ ]  Yes[ ]  No |

**I, the undersigned \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ declare on my honour:**

1. never having been subject nor currently being subject to bankruptcy, insolvency, moratorium, controlled management, suspension of payments, court-ordered liquidationorreorganisation or any similar procedure generally affecting the rights of creditors;
2. never having been nor currently being director, manager or administrator nor having any other managerial function or any 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 liquidationorreorganisation 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;
3. never having been nor currently being director, manager or administrator nor having any other managerial function or any significant influence in a company or other legal entity which has been or currently is subject to a criminal procedure or sanction;
4. never having had any criminal records (e.g. fine or other criminal sanction) relating to my activities, nor having been subject to any criminal investigations or proceedings, warrant of arrest, surrender procedure, nor having been subject to preventative detention, to a prison sentence, to a criminal fine or any other criminal sanction nor having been subject to any civil[[1]](#footnote-1) or administrative proceedings and disciplinary measures relating to my activities (including disqualification as a company director or in relation with bankruptcy, insolvency or similar procedures) nor currently being subject to any such investigation, proceedings or measures described above;
5. never having been nor currently being subject to investigations, enforcement proceedings or sanctions by a supervisory authority[[2]](#footnote-2) (including the CSSF);
6. never having been nor currently 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);
7. never having been subject to a refusal or a withdrawal of registration, authorisation, membership or licence to carry out a trade, business or profession; never having been subject to the withdrawal, revocation or termination of registration, authorisation, membership or licence; never having been subject to expulsion by a regulatory or government body;
8. not having been dismissed from employment or a position of trust, fiduciary contractual relationship or similar situation, nor having been asked to resign from employment in such a position (e.g. alleged serious infringement of contractual obligations);
9. already having been subject to a previous assessment of my professional repute / reputation / suitability / properness / standing by an audit oversight authority

|  |
| --- |
| Insert text. |

(please insert name of the relevant audit oversight authority as well as the function assessed and attach evidence of the outcome of this assessment, if applicable);

1. already having been subject to a previous assessment by an authority of the financial sector or another non-financial sector authority

|  |
| --- |
| Insert text. |

(please insert name of the relevant authority and attach evidence of the outcome of this assessment, if applicable);

1. having an insurance policy covering all risks arising from my activities (only applicable if the undersigned is acting as a natural person);
2. having submitted the extracts of the criminal record issued by the competent authorities of each of the countries of residence of the last five years preceding the signature of this document, or, where applicable, that no criminal record can be delivered for the following countries of residence of the last five years:

|  |
| --- |
| Insert text. |

(please indicate the country(ies) concerned and the competent authorities’ rationale for not issuing or for refusing to issue an extract of the criminal record);

1. having transmitted or transmitting to the CSSF documents that include complete, sincere and accurate information and that are up-to-date at the time of the transmission to the CSSF;
2. having submitted or submitting to the CSSF copies of documents that are true copies of and identical to the original documents.

Remarks or comments of the undersigned, if any (on the items above, in particular where one of the above items cannot be confirmed by the undersigned).

|  |
| --- |
| Insert text. |

**By signing this declaration of honour, the undersigned commits to inform the CSSF without delay in case any item reported in this declaration changes in the future.**

**The undersigned acknowledges herewith that if this declaration of honour is or becomes incorrect, non-litigious administrative procedure could be initiated in matters of professional repute against him/her.**

**By signing this declaration of honour, the undersigned and the legal person commit to interact openly and cooperatively with the CSSF and to disclose appropriately and actively any information that the CSSF would reasonably expect to be provided for the purposes of its supervision.**

**The undersigned confirms that he/she personally signed this declaration of honour, regardless of the form of the signature below (i.e. handwritten or electronic) and that he/she may be held personally responsible for all the information provided in this document.**

|  |
| --- |
| In case this declaration of honour is not the first declaration filed with the CSSF, please indicate the date of the previous declaration. |
| Insert date. |
| **Place of signature** |
| Insert text. |
| **Date of signature** |
| Insert date. |
| **Signature** |

1. Any civil action directed personally against the undersigned (e.g. damages relating to the exercise of the profession). [↑](#footnote-ref-1)
2. Information to be also provided if an appeal is still possible or if an appeal has been lodged. [↑](#footnote-ref-2)