APPLICATION FOR REGISTRATION OF THIRD-COUNTRY AUDITORS AND AUDIT ENTITIES
DECLARATION OF HONOUR - NATURAL PERSONS

This document is an Annex to application form for registration of third-country auditors and audit entities according to Article 45 of the amended Directive 2006/43/EC of 17 May, 2006 on statutory audits of the annual accounts and consolidated accounts.

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

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| **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. |

# Other information

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| Is the undersigned acting in the capacity of:[ ]  an individual third-country auditor; or[ ]  a member of the administrative or management board of an audit firm (as listed in Form 6 (LU) – Administration and Management); or[ ]  an individual third-country auditor (as listed in Form 7 (LU) – Third country auditors) designated by the audit entity as being the person responsible for carrying out or signing on behalf of the firm an audit of a relevant audit client (as listed in Form 8 (LU) – Client information)? |
| 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. having an insurance policy covering all risks arising from my activities (only applicable if the undersigned is acting as a natural person);
10. 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;
11. 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).

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| 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.**

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| 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)