Support PFS – Persons responsible for certain functions and activities (RD-9)

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| Date : | Select date. |
| Name of the entity : | Insert text. |
| Identification number : | Insert text. |

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| Director in charge of the administrative and accounting organization (Circular IML 96/126, point 3)  *This person must necessarily be part of the management authorised by the CSSF.* | Insert text. |
| Director responsible for Customer complaint handling (CSSF Regulation No 16-07, article 15, paragraph 3 and Circular CSSF 17/671)  *This person must necessarily be part of the management authorised by the CSSF.* | Insert text. |
| Person in charge of the internal audit department (Circular IML 98/143, point 5.4.8.)  *This box is only to be filled in where the PFS has its own internal audit department.* | Insert text. |
| and/or  External expert in internal audit (Circular IML 98/143, point 5.4.9.a))  *This box is only to be filled in where the PFS uses the services of third-party professionals in internal audit in accordance with point 5.4.9.a) of Circular IML 98/143.* | Insert text. |
| Person(s) responsible for monitoring the work of the external expert (Circular IML 98/143, point 5.4.9.b))  *This box is only to be filled in where the PFS uses the services of third-party professionals in internal audit (cf. previous box).* | Insert text. |
| Director responsible for compliance with the AML/CFT professional obligations (RR) (CSSF Regulation No 12-02, article 1, paragraph 1 and article 40, paragraphs 1 and 2)  *The member of the authorised management responsible for the fight against money laundering and terrorist financing is designated as “person responsible for compliance (RR)”.* | Insert text. |
| Person responsible for the control of compliance with the AML/CFT professional obligations (RC) (CSSF Regulation No 12-02, article 1, paragraph 1 and article 40, paragraphs 1 and 2)  *The person who must implement AML/CFT, for example, the compliance officer, where applicable, is designated as “compliance officer (RC)”.* | Insert text. |
| Outsourcing Officer (Circular CSSF 22/806, point 36(c)) | Insert text. |
| Person(s) designated as “Cloud Officer(s)” (Circular CSSF 22/806, point 140)  *This box must be filled in only where the PFS outsources on a cloud computing infrastructure.* | Insert text. |
| Director responsible for risk management (Circular CSSF 24/850, section 2.5.2.)  *This person must necessarily be part of the management authorised by the CSSF.* | Insert text. |
| Risk Manager | Insert text. |
| or  External expert in charge of risk management (Circular CSSF 24/850, section 2.5.2.)  *This box is only to be filled in where the PFS uses the services of third-party professionals in risk management.* | Insert text. |
| IT Officer (Circular CSSF 20/750, Guidelines on ICT and security risk management, point 2) | Insert text. |
| ICT and security risk management function(s) (Circular CSSF 20/750, Guidelines on ICT and security risk management, point 11)  This person may be the person designated as person responsible for risk management or the risk manager. | Insert text. |