**Annex 3 - Declaration regarding personal integrity (individual)**

Please note:

If it is not possible to provide a declaration for one of the named points, written justification must be submitted to the FMA.

Please note that, in accordance with Article 257(2)(c) of the ISA, a custodial sentence of up to six months or a monetary penalty of up to 180 daily rates may be imposed on anyone who gives false information to the FMA, particularly if such information is provided for the purposes of acquiring permission for a company to make changes to its licensing requirements (Article 19 to Article 22 of the ISA).

Data protection:

The FMA processes personal data exclusively in accordance with the general data processing principles of the General Data Protection Regulation (Regulation (EU) No. 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC) and in line with applicable data protection law.

Information regarding the processing of personal data, including details about the purpose of processing, the data controller and the rights of data subjects can be found in the FMA Privacy Policy: [www.fma-li.li/en/fma/data-protection/fma-privacy-policy.html](https://www.fma-li.li/en/fma/data-protection/fma-privacy-policy.html)

In connection with the application/notification **[type of application/notification]**, I, **[first name last name, address]**, make the following **declarations** to the Financial Market Authority (FMA) Liechtenstein:

1)

I hereby confirm that at present and within the last 10 years, there are/have been no criminal proceedings (including administrative criminal proceedings) or preliminary enquiries or investigations pending against me, neither domestically nor abroad.

I am subject to proceedings, preliminary enquiries or investigations Yes [ ]  No [ ]

In the event that criminal proceedings (including administrative criminal proceedings) or preliminary enquiries or investigations against me are or were pending currently or within the last 10 years, it is necessary to specify\* which criminal proceedings or preliminary enquiries or investigations are specifically involved:

 …

[ ]  I undertake to immediately notify the FMA in writing of the initiation of any future proceedings against me as soon as I become aware of them.

2)

I hereby confirm that at present and within the last 10 years, no insolvency or bankruptcy proceedings (including executions and debt collection proceedings) are or were pending or have been initiated against me, neither domestically nor abroad:

I am subject to insolvency or bankruptcy proceedings (including executions and debt collection proceedings) Yes [ ]  No [ ]

In the event that insolvency or bankruptcy proceedings (including executions and debt collection proceedings) are or were pending or have been initiated against me either domestically or abroad at the present time or within the last 10 years, it is necessary to specify\* in more detail which insolvency or bankruptcy proceedings are specifically involved:

 …

[ ]  I undertake to immediately notify the FMA in writing of the initiation of any future proceedings against me as soon as I become aware of them.

3)

I hereby confirm that there are no unsatisfied creditors’ claims against me, neither domestically nor abroad and neither at the present time nor within the last 10 years, which result from a bankruptcy from more than 10 years ago:

One or more of the named claims are asserted against me Yes [ ]  No [ ]

In the event that unsatisfied creditors’ claims against me exist or have existed within the last 10 years which result from a bankruptcy that took place more than 10 years ago, it is necessary to specify\* which insolvency or bankruptcy proceedings were involved. In addition, the reasons for which the creditors’ claims remained unsatisfied must be specified:

 …

4)

I hereby confirm that no investigation, enforcement proceedings or sanctions have been conducted against me by a supervisory authority, neither domestically nor abroad and neither at present nor in the last 10 years:

I am subject to an investigation, enforcement proceedings or a sanction by a supervisory authority Yes [ ]  No [ ]

In the event that investigations, enforcement proceedings or sanctions have been initiated or conducted against me by a supervisory authority either domestically or abroad at the present time or within the last 10 years, it is necessary to specify\* which investigations, enforcement proceedings or sanctions were involved. In addition, the acting supervisory authority must be named:

 …

[ ]  I undertake to immediately notify the FMA in writing of the initiation of any future proceedings against me as soon as I become aware of them.

5)

I hereby certify that, in connection with any position as member of the board of directors or executive board or as an executive officer, I have not been confronted with any loss of employment nor of any position of trust, fiduciary relationship or similar situation, nor with any request to terminate an employment relationship in such a position, including dismissals, neither domestically nor abroad, neither at present nor within the last 10 years:

One the circumstances mentioned above applies to me Yes [ ]  No [ ]

In the event that I have been confronted with any of the circumstances mentioned above, either domestically or abroad, at the present time or within the last 10 years, the exact circumstances that led to the loss of the position must be disclosed:

 …

[ ]  I undertake to immediately notify the FMA in writing of the initiation of any future proceedings against me as soon as I become aware of them.

6)

I hereby confirm that no refusal of registration, permission, membership or licence to carry out a trade, business or profession has been made or pronounced against me; that no withdrawal, revocation or termination of registration, permission, membership or licence has been made or pronounced against me; and that no exclusion by a self-regulating body or state collegial body or by a professional body or association has been made or pronounced against me, neither at present nor within the last 10 years, neither domestically nor abroad:

One the circumstances mentioned above applies to me Yes [ ]  No [ ]

In the event that I have been confronted with any of the circumstances mentioned above, either domestically or abroad, at the present time or within the last 10 years, the exact circumstances that led to the loss or the refusal, revocation or termination, etc., must be disclosed:

 …

[ ]  I undertake to immediately notify the FMA in writing of the initiation of any future proceedings against me as soon as I become aware of them.

… …………………………

Date, (Name in block capitals and signature)

\* In particular, the file number, the competent authority (including contact details) and the specific allegations involved must be disclosed. A copy of the relevant document must be provided. If there is no document from the competent authority, a statement to that effect must be made.