

Information form for fit & proper-assessment

A. Sworn statement

I solemnly declare that the information provided is accurate and complete

B. The company

Name:

Address:

CRN or X-number: FT no.:

What kind of licence does the company hold or apply for?

Select

When choosing other, write what type of authorisation the company holds:

Contact:

Email:

Tel.:

C. Personal data

Name:

Civil reg. no.:

Address: City:

Postcode: Country:

Private phone. no.: Work phone:

Private email: Work email:

If you do not have a Danish civil reg. no., please provide the following:

Date of birth:

Birthplace:

Country:

Enclose a copy of your passport, if you do not have a Danish civil reg. number.

D. Previous fit & proper assessment

Have you previously been fit & proper assessed by the Danish FSA? Yes: No:

Have you previously been fit & proper assessed in another EU/EEA country? Yes: No:

If you have previously undergone a fit & proper-assessment in another EU/EEA country, you must provide proof of this, e.g. by presenting the relevant decision.

E. Terms of employment

1. Position applied for

Starting date:

Function: Other:

Job position (e.g. CFO or investment manager):

For directors and key function holders, the area of responsibility is elaborated upon:

*Internal Audit Director; Remember to submit a report and statement pursuant to Section 20 of the Executive Order.

2. Previous employments

Please enclose your CV, going back at least 10 years with information on educational qualifications, information about current and past positions and directorships, including:

- Name of company
- CRN
- Job title/function
- Period of employment

F. Statement from the company about fitness

If the application relates to a position as director or key function, the company must prepare a brief statement about your suitability for the position. The statement must state what the company has emphasised. In practice, this implies a brief description of the competencies and/or experience that have been emphasised in the assessment. The statement must be prepared by the person or persons responsible for your employment.

G. Time allocated for performing the duties

Will you be performing the job full-time? Yes: No:

If you answered no to the question in section G, please specify the amount of time you intend to devote to the duties: hours per year.

H. Conflicts of interest (excl. company pension fund)

Do you have exposures towards or relationships with other companies or individuals which may give rise to conflicts of interest in the performance of the duties and responsibilities? Yes No:

If you answered yes to the question in section H, you must enclose a statement on this.

I. Criminal offences

a) Within the past ten years, have you been convicted, or charged, by a danish or foreign court? Yes: No:

b) Have you or have you been a foreign national or resident abroad within the last ten years? Yes: No:

If yes, please indicate country:

If you answered yes to the question in section I, a) you must enclose a statement on this.

Enclose a certificate of criminal record, or equivalent documentation (certificate of criminal record can not be older than 6 months).

J. Register as a bad payer

Are you registered as a bad payer, or do you have arrears? Yes: No:

If you answered yes to the question in section J, you must enclose a statement on this

K. Further matters for the evaluation of the application

Were you, or a business where you were part of the management:

a) Within the past five years a party in civil proceedings before courts or arbitrators, which may affect the processing of the application?

Yes: No:

b) Within the past five years the subject of compulsory composition, debt restructuring or other form of restructuring, in bankruptcy or similar?

Yes: No:

c) Within the past ten years subject to sanctions from a financial supervisory authority?

Yes: No:

d) Within the past ten years refused an application, been excluded or otherwise been restricted in the right to conduct business or duties which require an authorisation, registration or otherwise by a financial supervisory authority in Denmark or another country?

Yes: No:

If you answered yes to one or more of the questions in section K, you must enclose a statement of facts and relevant documentation.

L. Checklist

List of Annexes:	Enclosed	Not enclosed, specify reason
• If you do not have a Danish civil reg. no., enclose a copy of passport, cf. section. C		
• Documentation of previous fit & proper assessment in another EU/EEA country, cf. section D		
• CV, cf. section E		
• Statement from the company about fitness cf. section F		
• Statement on conflicts of interest, cf. section H		
• Certificate of criminal record, cf. section I		
• Statement on offences, cf. section I		
• Statement on bad payer, cf. section J		
• Statement on, and documentation for, the information provided, cf. section K		

N. Other relevant information

M. Confirmation and signature

I hereby confirm that I am aware that I am obliged to continuously notify the Danish FSA of matters that may affect my fit & proper assessment, including if I receive a sentence or accept a fine for violation of the criminal code or financial legislation in general.:

Digital signature/signature:

Date: