

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. no. 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:

Land:

Tel.:

Email:

If you do not have a Danish civil re. 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. no. 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:

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

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

2. Previous employments

Please include 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

The company must make a statement about your fitness for the position, including a clarification of what the company has emphasized in the assessment.

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 F, 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 G, you must enclose a statement on this.

It is a requirement that a director or a manager cannot have a material personal interest in the processing of a matter or an agreement between the company and himself, as it may lead to a conflict of interest. This is supported by section 131 of the Companies Act, according to which a director or a manager cannot be incompetent. Section 5 subsection (1), no. 17 of the Financial Business Act describes the concept of "close links", which exemplifies the conflicts of interest.

I. Criminal offenses

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

Include a certificate of criminal record, or equivalent documentation, and any possible statement (certificate of criminal record cannot be older than 6 months)

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

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 I, 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 J, you must attach 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	<input type="checkbox"/>	
• Documentation of previous fit & proper assessment in another EU/EEA country, cf. section D	<input type="checkbox"/>	
• CV, cf. section E	<input type="checkbox"/>	
• Statement on conflicts of interest, cf. section G	<input type="checkbox"/>	
• Certificate of criminal record, cf. section H	<input type="checkbox"/>	
• Statement on offenses, cf. section H	<input type="checkbox"/>	
• Statement on bad payer, cf. section I	<input type="checkbox"/>	
• Statement on, and documentation for, the information provided, cf. section J	<input type="checkbox"/>	

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: