

Document for the assessment of trustworthiness (legal person)

I.

INFORMATION FOR ASSESSING THE TRUSTWORTHINESS OF A LEGAL PERSON

1. Identification data

Business name or name	
Business ID number	
Address of the registered office in the form municipality, municipal district, street, street number, postcode, country	

II.

DECLARATION CONTAINING INFORMATION ON THE PREVIOUS ACTIVITIES OF THE LEGAL PERSON REFERRED TO IN PART I

2. Information about previously submitted applications

Have you ever applied to a supervisory authority for consent to discharge the office of key function holder or manager, or an office with similar responsibilities and powers?	
<input type="checkbox"/> YES	If YES, provide details. (date of application)
<input type="checkbox"/> NO	

3. Information for the assessment of trustworthiness

3.1. Have you ever been finally convicted of a criminal offence committed intentionally, or of a criminal offence against property or of an economic offence committed through negligence, or of a criminal offence committed through negligence in connection with the exercise of a function, of the criminal offence of financing terrorism or of the criminal offence of unauthorised handling of personal data (regardless of whether you are now viewed as not having been convicted)?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.2 Have you ever been finally sanctioned for an administrative infraction or other administrative delict for breach of a legal obligation in connection with the performance of a function or business activity, ever been finally subject to prohibition of activity, or ever been finally subject to an obligation to provide compensation for damage due to a culpable (intentional or negligent) breach of a legal obligation?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.3 Has a final decision established that you intentionally provided false information in an affidavit to an administrative authority, or otherwise interfered with the exercise of financial market oversight or supervision?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	

<input type="checkbox"/> NO	
3.4 Has a final decision established that you breached the principles of fair business practice, distorted competition, misused confidential information, including personal data of other persons, or breached trade secrets or banking secrecy or any other confidentiality obligation?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.5 Have you ever been subject to a bankruptcy decision (i.e. a decision establishing that you are bankrupt) or the initiation of insolvency proceedings, has a court ever rejected an insolvency petition because your assets were insufficient to cover the costs of the insolvency proceedings, has a decision ever been issued declaring you bankrupt or cancelling bankruptcy because your assets as debtor were not sufficient to cover the costs of bankruptcy proceedings or to satisfy creditors?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.6 Have you ever been refused, through a final decision of a court or administrative authority, consent to your election, appointment or designation to a function, or to the acquisition of or an increase in a qualifying holding or control, if such consent was required for such election, appointment or designation to such function or for the acquisition of or increase in such qualifying holding or control, or have you ever had such consent finally revoked?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.7 Has your business licence ever been suspended or revoked by a final decision of a court or administrative authority for reasons other than at your request?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.8 Have you ever had an application for membership of a regulated market organiser, professional association, chamber or association of financial service providers, including foreign ones, refused, or has any such community imposed on you a disciplinary penalty or expulsion from such community for breaching a legal obligation?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant decision.
<input type="checkbox"/> NO	
3.9 Have you ever been a statutory body, a member of a statutory body, a member of a supervisory body or a board of directors, a person authorised to act on behalf of a legal person on the basis of another fact, or a person who significantly influenced the conduct of a legal person or significantly participated in it at the time acts were committed for which such legal person	
<ul style="list-style-type: none"> • had a sanction for an administrative offence or an obligation to provide compensation for damage for a breach of a legal obligation in connection with the operation of such legal person on the financial market finally imposed on it, • had a final decision on bankruptcy imposed on it, • was subject to a declaration of bankruptcy, or • had an application for membership of an organised market, professional association, chamber or association of financial service providers, including foreign ones, refused, or when there was a breach of legal obligation for which it was subject to a disciplinary penalty by such community or was expelled from such community? 	
<input type="checkbox"/> YES	If YES, indicate the business name/name of such legal person, business ID number and other details regarding the matter and submit the relevant decision.

<input type="checkbox"/> NO	
3.10 Have you ever been a statutory body, a member of a statutory body, a member of a supervisory body or a board of directors, a person authorised to act on behalf of a legal person on the basis of another fact, or a person who significantly influenced the conduct of a legal person or significantly participated in it, or who controlled such a person in a period of up to three years <ul style="list-style-type: none"> • prior to the issuance of a decision on the bankruptcy of such legal person or prior to the rejection of an insolvency petition because its assets were insufficient to cover the costs of the insolvency proceedings, • prior to a declaration of bankruptcy in respect of the assets of such legal person or prior to the authorisation of composition, or • prior to the final suspension or revocation of a business licence for reasons other than at its request or prior to the imposition of forced administration in that legal person? 	
<input type="checkbox"/> YES	If YES, indicate the business name/name of such legal person, business ID number and other details regarding the matter and submit the relevant decision.
<input type="checkbox"/> NO	
3.11 Have criminal proceedings ever been opened against you for any of the offences listed in point 3.1 and are such criminal proceedings ongoing?	
<input type="checkbox"/> YES	If YES, provide details and substantiate the information with the charge/indictment.
<input type="checkbox"/> NO	
3.12 Have you ever been subject to proceedings for an administrative infraction or other administrative delict referred to in point 3.2 and are such proceedings ongoing?	
<input type="checkbox"/> YES	If YES, provide details and submit the relevant notice of initiation of proceedings.
<input type="checkbox"/> NO	
3.13 Have you ever been a statutory body, a member of a statutory body, a member of a supervisory body or a board of directors, a person authorised to act on behalf of a legal person on the basis of another fact, or a person who significantly influenced the conduct of a legal person or significantly participated in it, or who controlled such a person, and proceedings were initiated against such legal person on the basis of acts committed at the time of your participation in that legal person <ul style="list-style-type: none"> • regarding the imposition of a sanction for an administrative delict or the imposition of an obligation to provide compensation for damage for a breach of a legal obligation in connection with the operation of such legal person on a financial market, or • regarding the rejection of an application for membership of an organised market, professional association, chamber or association of financial service providers, including foreign ones, or regarding a breach of legal obligations for which it could be subject to a disciplinary penalty by such community or expelled from such community, and are such proceedings ongoing? 	
<input type="checkbox"/> YES	If YES, provide the business name/name of the legal person, the business ID number and other details relating to the matter, and submit the relevant notice of initiation of proceedings.
<input type="checkbox"/> NO	

4. Provide information on other facts not listed in the table and that may affect your trustworthiness, or submit documents and evidence of these facts (e.g. repeated property-related offences committed outside the scope of business activities, failure to fulfil obligations towards financial authorities and supervisory authorities)

OTHER INFORMATION RELATED TO THE SUBMISSION OF THE APPLICATION

7. Identification of the person authorised to act on behalf of the legal person/in the name of the legal person^{a)}

Function	
First name(s) and surname	
Date of birth	

8. Contact person for communication with the CNB in this matter (name, surname, telephone number, e-mail)

--

Place

Date:

Signature:

a) Section 30(1) of the Administrative Procedure Code in conjunction with Section 21 of the Civil Procedure Code.