

Annex 4 - Declarations on any pending criminal and administrative criminal proceedings as well as bankruptcy and execution proceedings

I, (name, function) _____, _____

The company _____

hereby confirm/confirms to the FMA that no criminal investigations or criminal proceedings, relevant civil or administrative disputes, disciplinary measures (including disqualification as head of a company or bankruptcy, insolvency, or similar proceedings) are pending or have been pending in the past ten years, either in Liechtenstein or abroad, and that no criminal convictions have been handed down.

In the event of criminal investigations or criminal proceedings, relevant civil or administrative disputes, disciplinary measures (including disqualification as head of a company or bankruptcy, insolvency, or similar proceedings), or criminal convictions in Liechtenstein or abroad, this declaration must be accompanied by a complete description of the suspicion, allegation, or subject matter of the proceedings, investigation, or disciplinary measure as well as other relevant information and – if concluded – the manner of its conclusion (e.g. acquittal, suspension, fine, diversion, settlement).

undertake/undertakes to notify the FMA in writing of any future criminal investigations or proceedings, relevant civil or administrative disputes, disciplinary measures (including disqualification as head of a company or bankruptcy, insolvency, or similar proceedings), or criminal convictions in Liechtenstein or abroad.

Place, Date: _____, _____

Signature (of an authorized person) _____