

Annex 2 to FMA I 2024/1: Assessment of reliability

The following documents must be submitted for:

- all members of the management level of the TT Service Provider
- all persons with direct or indirect qualifying holdings

Where a member of the management level or a person with a qualifying holding (QH) is a legal person, the documents must be submitted for all members of that legal person's BD and GM or of the ultimate person with the qualifying holding, respectively. An extract from the Commercial Register (no older than 3 months) and the completed and signed form as set out in Annex 4 FMA I 2020/1 must be submitted.

An enclosure must be designated as follows: **C_Surname_Document-name.**

Surname, first name / company name	
Address	
Function	<input type="checkbox"/> Member of BD <input type="checkbox"/> Member of GM <input type="checkbox"/> General Manager <input type="checkbox"/> Person with QH

Natural person

Comments

Copies of identity documents for all citizenships Valid, colour copy/scan, easily legible Apart from passport copies, copies of personal IDs are also accepted, provided they are recognised as valid travel documents within the EEA.	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Current confirmation of residence No older than 3 months	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
List of places of residence over the last 10 years Mere stays abroad of less than one year and without a change in actual place of residence need not be included. This may be the case for travel or stays abroad for educational purposes.	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Criminal register extracts from all countries in which the person has had a place of residence in the last 10 years No older than 3 months	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Extracts from collection and bankruptcy registers from all countries in which the person has had a place of residence in the last 5 years No older than 3 months	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	

Where available, the results of reliability assessments carried out by other financial market supervisory authorities	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Completed and signed form as set out in Annex 4 FMA I 2020/1	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Current, complete curriculum vitae, signed No older than 3 months	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Planned area of responsibility within the company	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	

Legal person

Commercial Register extract No older than 3 months	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	
Completed and signed form as set out in Annex 4 FMA I 2020/1	<input type="checkbox"/> enclosed <input type="checkbox"/> submitted later <input type="checkbox"/> not submitted <i>(state reasons)</i>	