

Statement of compliance (natural person)

By signing below, I declare that I,

Surname, first name

Function

have fully and truthfully disclosed to the FMA all compliance-relevant information about myself and the undertakings I have directed or controlled in the past ten years, both in Liechtenstein and abroad, as part of the application and this statement.

This includes in particular criminal, administrative criminal, and relevant administrative clarifications, preliminary investigations, investigations, proceedings and/or convictions, relevant civil and administrative law matters (including commercial law, labour law, public employment law and/or disciplinary matters), any bankruptcy, insolvency, or execution matters as well as all other compliance-relevant situations or circumstances that are relevant for the assessment of the application in question, regardless of their outcome or consequences (e.g. also in the event of a suspension or acquittal).

For each of the cases listed in Article 2(a) RTS-Acquisition¹, I will also mark below whether or not it applies to me or an undertaking I have managed in the past 10 years. If "applicable" is selected, I will describe the relevant situation in detail and enclose all available information/documents.²

Encl. no. ³	Case	not applicable	applicable	if "applicable" please elaborate
[#].1.	Subject to national legislative requirements concerning the disclosure of final convictions, any criminal convictions or proceedings which were not set aside;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].2.	Any civil or administrative decisions relevant to the application and any such administrative sanctions or measures that were imposed as a consequence of a breach of laws or regulations, including disqualification as a company director, in each case which was not set aside and against which no appeal is pending or may be filed, and of criminal convictions in respect of which information shall also be provided for rulings still subject to appeal;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].3.	Any bankruptcy, insolvency or similar procedures;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].4.	Any pending criminal investigations or procedures including relating to precautionary measures;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].5.	Any civil or administrative investigations, enforcement proceedings, sanctions or other enforcement decision concerning matters relevant to the present application;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].6.	Any refusal of registration, authorisation, membership or licence to carry out a trade, business or a profession;	<input type="checkbox"/>	<input type="checkbox"/>	

¹ Draft RTS pursuant to Article 84(4) MiCAR of a COMMISSION DELEGATED REGULATION (EU) 2024/XXX of XXXX supplementing Regulation (EU) 2023/1114 of the European Parliament and of the Council with regard to regulatory technical standards specifying the detailed content of information necessary to carry out the assessment of a proposed acquisition of a qualifying holding in a crypto-asset service provider; Annex VIII, Final Report ESMA18-72330276-1634

² In case of doubt as to whether a potential case/offence applies, is pertinent, or is relevant to the application, please consult with the FMA.

³ Please prefix the document title with the enclosure number of this document ("[#]") and then add the respective number listed in the table.

[#].7.	Any withdrawal, revocation or termination of a registration, authorisation, membership or licence to carry out a trade, business or a profession;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].8.	Any expulsion by a regulatory or government body or by a professional body or association;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].9.	Any position of responsibility relevant to the application within an entity that was or is subject to any criminal conviction or civil or administrative penalty or other civil or administrative measure. A position is relevant to the application in the case of proceedings for conduct failings, including in respect of fraud, dishonesty, corruption, money laundering, terrorist financing or other financial crime or of failure to put in place adequate policies and procedures to prevent such events, where I held the position at the time when the alleged conduct occurred;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].10.	Any dismissal from employment or a position of trust, any removal from a fiduciary relationship, save as a result of the relationship concerned coming to an end by passage of time, and any similar situation;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].11.	Financial and/or non-financial interests or relationships within the meaning of Annex 3, point 5.1 (a) to (f) of FMA Communication 2013/07 that could give rise to potential conflicts of interest;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].12.	Professional obligations that could prevent me from devoting sufficient time to my mandate in question;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].13.	Any other compliance-relevant situation/event relevant to the assessment of the application;	<input type="checkbox"/>	<input type="checkbox"/>	
[#].14.	Other comments			

By signing below, I confirm that I have provided the information in the application form and in this statement form completely and truthfully to the best of my knowledge and with knowledge of the sanction provisions of the applicable special law and the possibility of a withdrawal of licence under the special legal provisions. I am also aware that the FMA may verify the authenticity of the documents and the accuracy of the information provided at any time.

Furthermore, I undertake to notify the FMA immediately in writing of all future compliance-relevant information about myself and the undertakings I direct or control. This also includes all assessments of the reliability of myself or of an undertaking managed by me in the past 10 years by another authority, regardless of their outcome.

Name

Function

_____,

Date, place

Signature