**Declaration of honour for a shareholder that is a natural person** and holds a qualifying holding in the captive insurance or reinsurance undertaking to be authorised

All sections required for the declaration (see below) are to be completed electronically, then printed and signed.

The signed document and the electronic file must be included in the application file to be submitted to the CAA according to the instructions outlined in the circular letter 25/9 together with all the supporting documents required (originals and scans of documents in PDF format).

**CAA’s Statement on Personal Data**

The personal data collected by means of this form are processed by the CAA for the purpose of carrying out the tasks assigned to it by the law on the supervision of the insurance sector in the Grand Duchy of Luxembourg, in particular, by the amended law of 7 December 2015 on the insurance sector.

The sole purpose of this document is supporting the CAA in its assessment of an authorisation as referred to in articles 44 to 55 of the insurance sector law.

This personal data may be compared with other information collected by the CAA, but it is not subject to an automatic decision-making process.

These personal data will be processed as part of the CAA’s legal tasks and may be communicated to other European authorities with whom the regulations applicable to the CAA require international cooperation.

In accordance with Chapter VI of the amended law of 2 August 2002 on the protection of individuals with regard to the processing of personal data and on the free movement of such data, the person concerned has certain rights, including in particular the right of access to information concerning him/her, the right to rectify inaccurate information or the right to lodge a complaint with a supervisory authority.

Data Protection Officer – Email: dpo@caa.lu

Section 1

**-**

**Identification of the undersigned natural person**

|  |  |
| --- | --- |
| Title | Click or tap here to enter text. |
| Last name(s) of the undersigned as shown on the identity document attached to the file | Click or tap here to enter text. |
| Last name of use, if different (e.g. ex-spouse name) | Click or tap here to enter text. |
| First name(s) of the undersigned as shown on the identity document attached to the file | Click or tap here to enter text. |
| First name of use, if different | Click or tap here to enter text. |
| Gender | Click or tap here to enter text. |
| Date of birth  | Click or tap here to enter text. |
| Place of birth | Click or tap here to enter text. |
| Country of birth | Click or tap here to enter text. |
| Nationality (in accordance with the identity document attached to the file) | Click or tap here to enter text. |
| If applicable: Second nationality | Click or tap here to enter text. |
| E-mail address | Click or tap here to enter text. |
| Phone number | Click or tap here to enter text. |
| Country of residence and country of main activity over the last 5 years | Click or tap here to enter text. |

I, the undersigned Click or tap here to enter text.

Section 2

**-**

**Declaration of Honour**

declare on my honour for myself as an individual, and for any undertaking that I have directed or controlled, over the last 10 years:

|  |
| --- |
|[ ]  1. Not having been or currently not being subject to any proceedings for fraudulent bankruptcy, insolvency, moratorium, controlled management, suspension of payment, judicial liquidation, reorganisation or any similar proceedings generally affecting the rights of creditors, in Luxembourg or in any other jurisdiction;
 |
|[ ]  1. Not having been subject or currently not being subject to criminal investigations or proceedings, civil and administrative cases, and disciplinary actions;
 |
|[ ]  1. Not having any open investigations, enforcement proceedings, sanctions, or other enforcement decisions against me, nor the undertakings that I have directed or controlled;
 |
|[ ]  1. Not having been refused registration, authorisation, membership, or licence to carry out a trade, business or profession; or had such registration, authorisation, membership or licence withdrawn, revoked or terminated;
 |
|[ ]  1. Not having been expulsed by a regulatory or government body or by a professional body or association;
 |
|[ ]  1. Not having been dismissed from employment or a position of trust, fiduciary relationship, or similar situation;
 |
|[ ]  1. I confirm not having been subject to an assessment of my professional repute / reputation / suitability / properness / standing by an authority of the financial sector.

If an assessment has taken place, please insert the identity of the relevant supervisory authority as well as the function assessed and attach evidence of the outcome of the assessment.Name of the relevant supervisory authority: Click or tap here to enter text.Country of the relevant supervisory authority: Click or tap here to enter text. |

|  |
| --- |
| Possible remarks or comments of the undersigned (on the items above, in particular if one of the above items cannot be confirmed by the undersigned). Please attach any necessary explanatory document. |
| Click or tap here to enter text. |

Section 3

 **–**

**Other information**

|  |  |  |
| --- | --- | --- |
|  |  | If applicable, tick this box |
|  | Financial[[1]](#footnote-1) or non-financial interests[[2]](#footnote-2) or relationships with |[ ]
|  | 1. Any other current shareholder of the undertaking to be authorised;
 |[ ]
|  | 1. Any person entitled to voting rights of the undertaking to be authorised;
 |[ ]
|  | 1. Any member of the administrative, management or supervisory body or of the senior management of the undertaking to be authorised;
 |[ ]
|  | 1. The undertaking to be authorised itself and its group.
 |[ ]
|  | Information on any other interests or activities that may be in conflict with those of the undertaking. | [ ]   |

|  |
| --- |
| Possible remarks or comments of the undersigned (on the items above, in particular if one of the above items is confirmed by the undersigned). Please attach any necessary explanatory document. |
| Click or tap here to enter text. |

By signing the declaration of honour, the undersigned commits to inform the CAA without delay in case of the elements covered by this declaration were to change in the future.

The undersigned recognises and accepts that if this declaration of honour is inaccurate, his / her its good repute, as defined in Articles 32 and 89 of the Law of 7 December 2015 on the insurance sector, as amended, shall be compromised.

|  |  |
| --- | --- |
| Place of signature | Click or tap here to enter text. |
| Date of signature | Click or tap here to enter text. |
| Signature |  |

**Documents to be submitted**

[ ]  This notification form, signed.

[ ]  Copy of an identity document, currently valid.

[ ]  Extract from the criminal record less than three months old issued by the authorities of the country of predominant residence over the last 5 years. In case the authorities of the country of predominant residence do not issue a criminal record, a notarised declaration informing on the past record of convictions.

[ ]  Detailed Curriculum Vitae stating relevant education and training, previous professional experience, and any professional activities or other relevant functions currently performed.

[ ]  Evidence of the outcome of the assessment of the reputation by another supervisory authority (if an assessment has taken place).

1. Please note that “Financial interests” may include interests such as credit operations, guarantees and pledges. [↑](#footnote-ref-1)
2. “Non-financial interests” may include interests such as family or close relationships. [↑](#footnote-ref-2)