

**MEMBER :** ..... **N° :**.....

Please certify, by signing the present paragraph, that neither in Switzerland, nor abroad:

- you have ever been condemned or are presently the subject-matter of any proceedings of a criminal or disciplinary character, regardless of whether they are of a judicial or administrative nature, due to facts in connection with your professional activity (e.g. prohibition or withdrawal of the authorization to exercise a professional activity, exclusion from a SRO etc.) or due to acts constituting a crime within the meaning of Swiss law;
- the impeccable management of the undertakings of which you have been the employee or body has ever been called into question by a financial market supervisory authority (e.g. FINMA, SFBC, SRO and equivalent foreign authorities) due to acts attributable to you.

Name: ..... First name: .....

For certification of the above: (place, date, signature)

.....  
 .....

In the case of any facts, acts, proceedings or convictions which could not be entirely compatible with the certification stated hereinbefore or could be relevant in an economical respect or from the point of view of the reputation or the guarantee of the impeccable management of a bank or of a securities dealer, we ask you to indicate their content precisely and to provide all documents as well as means of information allowing an accurate assessment of their impact.

**In accordance with fig. 4 of Directive 1 of ARIF**

*You must provide a comprehensive personal file for all your bodies (members of partnerships, managing members of limited liability companies, members of boards of directors or of foundation boards or of association committees and all other management members with general powers) and for all your subordinated employees and auxiliaries taking part in your matters governed by the MLA, including your MLA Officer.*

*Are exempted from the obligation to provide a comprehensive file:*

- *the members of partnerships or of limited liability companies, members of boards of directors or of foundation boards or of association committees, composed of at least ten persons, and only with regard to those persons having neither any operational activity, nor any power of signature;*
- *the non-managing members of limited liability companies having neither any operational activity, nor any power of signature.*

**Information relating to the person:**

Names, first names: .....

Position in the company: .....

Since: .....

**We kindly ask you to provide for this person all the following documents:**

- certified true copy, by ARIF, a notary or the Swiss Post, of a valid passport or identity card;
- simple photocopy of residence or permanent residence authorisation (for foreigners domiciled in Switzerland) or of work authorisation (for frontier workers);
- original of criminal records' extract of country of domicile, dated within the last three months;
- *curriculum vitae* dated and signed in original form by the person concerned, containing at least his civil status, his private address, his education and his professional career;
- simple photocopy of diplomas, countersigned by the person concerned\*;
- simple photocopy of certificates of employment, countersigned by the person concerned\*.

*\* or, failing this, a written, dated and undersigned attestation on honour explaining this default*