

Document for the assessment of trustworthiness (legal entity)

I. INFORMATION FOR THE ASSESSMENT OF THE TRUSTWORTHINESS OF A LEGAL ENTITY

1. Basic information

Company name	
Identification number	
Registered address in the form: municipality, municipal district, street, house number, postcode, country	

II. STATEMENT CONTAINING INFORMATION ABOUT THE PREVIOUS ACTIVITIES OF THE LEGAL ENTITY STATED IN PART I

2. Information about previous applications

2.1. Have you ever applied to a supervisory authority for consent to discharge the office of key function holder or manager or to discharge an office with similar responsibilities and powers?	
<input type="checkbox"/> YES	If YES, please give details.
<input type="checkbox"/> NO	
2.2. Have you ever applied to a supervisory authority different from the Czech National Bank for registration of insurance intermediary?	
<input type="checkbox"/> YES	If YES, please give details.
<input type="checkbox"/> NO	

3. Information for the assessment of trustworthiness

3.1. Have you been lawfully convicted of an intentionally committed criminal offence or a property offence or economic offence committed through negligence or an offence committed through negligence in the context of the performance of a position (regardless of whether you are viewed as not having been convicted)?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.2. Have you had a legally effective penalty imposed on you for an administrative offence for a breach of a legal duty in the context of the performance of a position or business activities exceeding CZK 20,000 or the equivalent amount in foreign currency, a prohibition of activity or a duty to pay compensation for a wilful (intentional or negligent) breach of a legal duty?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.3. Has it been stated in a final and conclusive decision that you intentionally gave untrue	

information in an affidavit for an administrative body or otherwise interfered with financial market supervision or oversight?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.4 Has it been stated in a final and conclusive decision that you breached the principles of fair trade, interfered with competition, misused confidential information, including the particulars of other persons, or breached trade secrets or banking secrecy or any other confidentiality obligation?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.5 Has a decision on insolvency been issued against you (i.e. a decision finding that you are bankrupt), has a court dismissed an insolvency petition because your assets were not sufficient to cover the costs of insolvency proceedings, or has a decision of the adjudication of bankruptcy or a decision of the cancellation of bankruptcy been issued because your assets as a debtor were not sufficient to cover the costs of bankruptcy proceedings or to meet creditors' claims)?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.6 Have you ever been refused consent, in a final and conclusive decision of a court of law or an administrative authority, to election, nomination or appointment to a position or to the acquisition of or an increase in a qualifying holding or control of a person, where such consent is required, or has such consent been withdrawn from you?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.7 Have you ever had a business licence suspended or withdrawn upon a final and conclusive decision of a court of law or an administrative authority for reasons other than at your request?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.8 Have you ever had an application for membership with a regulated market operator, in a professional body, chamber or association of financial market providers, including foreign ones, refused or have you had a disciplinary penalty imposed on you by such a community for a breach of a legal duty or have you ever been excluded from such a community?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant decision.
<input type="checkbox"/> NO	
3.9 Have you been a statutory body, a member of a statutory body, a member of the supervisory board or board of directors, a person authorised to act for a legal entity on the basis of another fact, or a person who significantly affected or contributed to the behaviour of a legal entity at the time acts were committed for which that legal entity	
<ul style="list-style-type: none"> • had a legally effective penalty for an administrative offence or a duty to pay compensation for a breach of a legal duty relating to the activities of that legal entity in the financial market imposed on it, or • had an application for membership with a regulated market, in a professional body, chamber or association of financial market providers, including foreign ones, refused, or legal duties were breached for which a disciplinary penalty was imposed on it by such a community, or which was excluded from such a community? 	

<input type="checkbox"/> YES	If YES, please give the name and ID number of that legal entity and other details relating to this matter and submit the relevant decision.
<input type="checkbox"/> NO	
3.10 Have you been a statutory body, a member of a statutory body, a member of the supervisory board or board of directors, a person authorised to act for a legal entity on the basis of another fact, or a person who significantly affected or contributed to the behaviour of a legal entity or who controlled that legal entity within a period of up to three years <ul style="list-style-type: none"> • prior to a decision on insolvency of that legal entity being issued or prior to an insolvency petition being refused because its assets were not sufficient to cover the costs of insolvency proceedings, • prior to bankruptcy being declared in respect of the assets of that legal entity or composition being permitted, or • prior to a business licence being lawfully suspended or withdrawn for reasons other than at the legal entity's request or prior to the imposition of forced administration in that legal entity? 	
<input type="checkbox"/> YES	If YES, please give the name and ID number of that legal entity and other details relating to this matter and submit the relevant decision.
<input type="checkbox"/> NO	
3.11 Have criminal proceedings been opened against you for a criminal offence referred to in (3.1) and those criminal proceedings are still in progress?	
<input type="checkbox"/> YES	If YES, please give details and prove the information by showing the charge/indictment.
<input type="checkbox"/> NO	
3.12 Have proceedings regarding an offence or an administrative offence referred to in (3.2) been opened against you and those proceedings are still in progress?	
<input type="checkbox"/> YES	If YES, please give details and submit the relevant notification of the opening of proceedings.
<input type="checkbox"/> NO	
3.13 Have you been a statutory body, a member of a statutory body, a member of the supervisory board or a board of directors, a person authorised to act for a legal entity on the basis of another fact, or a person who significantly affected or contributed to the behaviour of that legal entity or who controlled that legal entity, and against that legal entity proceedings were opened on the basis of acts committed at the time of your involvement in that legal entity <ul style="list-style-type: none"> • regarding the imposition of a penalty for an administrative offence or a duty to pay compensation for a breach of a legal duty relating to the activities of that legal entity in the financial market, or • regarding a refusal of an application for membership with a regulated market, in a professional body, chamber or association of financial market providers, including foreign ones, or a breach of legal duties for which a disciplinary penalty may be imposed on it by such a community or which may be excluded from such a community, and those proceedings are still in progress?	
<input type="checkbox"/> YES	If YES, please give the name and ID number of that legal entity and other details relating to this matter and submit the relevant notification of the opening of proceedings.
<input type="checkbox"/> NO	

4. Please give information about any other facts which are not stated in the table and which may affect your trustworthiness, and, where appropriate, submit documents and evidence about those facts (for example, repeated property offences committed outside the scope of business activities, or failure to comply with duties to financial and supervisory authorities)

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**III.
INFORMATION RELATING TO THE PURSUIT OF BUSINESS BY
THE LEGAL ENTITY ABROAD**

5. Pursuit of business abroad

Has the legal entity had a registered office or an organisational unit in the territory of a country other than the Czech Republic in the last three years?	
<input type="checkbox"/> YES <input type="checkbox"/> NO	If YES, give the countries in which the legal entity has had a registered office or organisational unit in the last three years.

**IV.
LIST OF APPENDICES**

6. A numbered list of all appendices proving, where appropriate, the facts given in (2)–(5) and the facts they relate to (give the numbers also in the appendices themselves; if an appendix is made up of multiple documents, identify them additionally with letters)

App. No.	Name of appendix	Number

**V.
DECLARATION**

I hereby declare that the information given in this appendix or given in connection with the application is true, up-to-date and complete.

VI.
FURTHER INFORMATION RELATING TO THE APPLICATION

7. Identification of the person authorised to act for/on behalf of the legal entity^{a)}

Position	
Name(s) and surname	
Date of birth	

8. Contact person for communication with the CNB in this matter (name, surname, phone number, e-mail)

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At

Date:

Signature:

^{a)} Article 30(1) of the Administrative Procedure Code in conjunction with Article 21 of the Civil Procedure Code.