**ANNEX ΙΙ**

**QUESTIONNAIRE FORM C**

**Name of target firm**

**Name of natural person**

*Instructions for completing the application form*

1. The application form must be duly completed and signed by the obligor. If the application is not submitted by the obligor himself/herself, his/her signature must be legalised by the competent administrative authority.

2. The space provided under each question in the questionnaire is NOT indicative of the size of the required answer.

3. Where there is no competent authority to issue the required certificates, equivalent documents issued by an independent reliable source shall be submitted.

4. Any false or misleading information or suppression of important information may give rise, in additional to criminal prosecution, also to doubts about the integrity of the natural person and therefore, his/her suitability for taking up of the duties applied for.

5. All questions must be duly completed, otherwise the necessary explanations should be provided.

6. The supporting documents accompanying the application shall provide a cross-reference to the relevant paragraph and shall be attached to the application as Attachments, numbered as specified herein and not consecutively, i.e. omitting the numbers of any missing/non-applicable attachments.

7. The completed application shall be submitted confidentially by registered mail addressed as follows:

BANK OF GREECE

Banking Supervision Department

21 E. Venizelos Avenue

10250 Athens

8. If you need any further information in connection with this application, please contact us at:

Tel: +30 210 3205018, 210 3205019

Fax: +30 210 3205400

E-mail: dep.bankingsupervision@bankofgreece.gr

Website: www.bankofgreece.gr

**Data of contact person**

Name

Surname

Occupation

Company name

Postal address

Fixed phone number (including area code)

Mobile phone number (optional)

Fax number (including area code)

E-mail

**CONTENTS**

1. Personal data

2. Professional experience, academic and professional qualifications

3. Suitability of natural person

4. Relations with other persons/organisations

5. Letters of recommendation

6. Attachments

7. Declaration - Authorisation

**1. Personal data**

**1.1** Please check the duties that you wish to perform within the target firm:

Member of the management body

Executive member

Non-executive member

Non-executive independent member

Chair of the management body

Vice-chair of the management body

CEO

Deputy CEO

Other – Please specify

……………………………

AML/CTF Officer under Law 3691/2008

**1.2** Name

**1.3** Surname

**1.4** Father’s name

**1.5** Date of birth

**1.6** Country and city of birth

**1.7** Identity data (for residents in Greece) or passport data (for non-residents)

Identity card/passport number:

Issuing authority:

Issue date/expiry date (for passports):

Please attach, as Attachment 1, an authenticated copy of your Police Identity Card or Passport.

**1.8** Citizenship and way of acquisition (birth, naturalisation, marriage).

**1.9** Current residence address (please indicate whether you stay at this address for less than 180 days per year)

|  |  |
| --- | --- |
| Street |  |
| Number |  |
| City |  |
| Country |  |
| Postal code |  |

I stay at this address for less than 180 days per year. YES  NO

In case you have also a residence address abroad, please provide the relevant details below. If you stay only abroad please provide the relevant details below.

|  |  |
| --- | --- |
| Street |  |
| Number |  |
| City |  |
| Country |  |
| Postal code |  |

I stay abroad and I do not have an address in Greece. YES  NO

**1.10** Please describe the present status of your debts (kind and amount of debt, creditor, status (performing or non-performing)). Have you, as a natural person, ever defaulted on your payments and asked your creditors for a restructuring? How was the default settled? Is there a relevant pending case?

**1.11** Are you aware of the obligations and duties attendant to your position under the legislation in force?

Yes, I have been informed  No, I have not been informed

I confirm that I am willing to comply with the relevant legislation on an ongoing basis

YES  NO

**1.12** Please provide any further data in support of your application.

**2. Professional experience, academic and professional qualifications**

Please attach, as Attachment 2, a CV including data and information on the following:

**2.1** Professional experience

Your full employment record, starting with your most recent job, including such information as the reasons of termination of employment or any periods of unemployment. Provide your full employment record for the last ten years, including, for every job:

* start and end date of employment;
* employer’s name, address and nature of business;
* the position you held, including information on your responsibilities and decision-making powers; and
* any experience and knowledge you gained which are relevant to the proposed position.

**2.2** Academic qualifications

Please provide details of your academic qualifications (institutions, degrees/certificates awarded).

**2.3** Professional qualifications and membership in professional bodies

* Full names of professional bodies
* Full titles of professional qualifications acquired
* Dates of award of professional qualifications (month-year)
* Position in the professional body and effective dates (month - year)
* Relevance of qualifications or memberships to the proposed position.

**2.4** Other relevant education/training

Please provide details on any other education or training that is relevant to the proposed position.

**3. Suitability of natural person**

**3.1** Have you ever been accused, convicted of, or investigated for, any civil or administrative or criminal offence in Greece or abroad?

No

Yes If yes, please specify

Please attach, as Attachment 3, authenticated transcript of criminal record issued by the competent judicial authority, or, in the case of aliens, another equivalent document.

**3.2** Are you the subject of any enforcement action that has been suspended, in Greece or abroad, in connection with debts to public agencies or private individuals?

No

Yes If yes, please specify

**3.3** Have you, as a natural person, ever been the subject of administrative or disciplinary sanctions imposed by any supervisory authority, professional body or government agency, in Greece or abroad, for non-compliance with provisions of the legislation in force? Is any relevant proceeding in progress?

No

Yes If yes, please specify (kind of sanction, competent authority, brief background)

**3.4** Has any bankruptcy or similar proceeding been instituted against you, either by yourself or by another party, in Greece or abroad?

No

Yes

**3.5** Have you ever been adjudicated bankrupt, have your assets ever been frozen and, generally have you ever been party to any such proceedings? Is there any such proceeding in progress?

No

Yes If yes, please specify

**3.6** Has any legal person with which you have had close links, within the meaning of Article 3(35) of Law 4261/2014, or any legal person in which you have been a member of the management body or key function holder ever been adjudicated bankrupt, or subject to conservatorship or enforcement proceedings or liquidation or bankruptcy proceedings, in Greece or abroad? Is there any such proceeding in progress?

No

Yes If yes, please specify

**3.7** Have you ever resigned any post, in Greece or abroad, in order to avoid legal or disciplinary action against you?

No

Yes

**3.8** Have you or any company in which you have been an administrator or a management body member or a key function holder ever been held culpable of unauthorised pursuit of regulated business, or been investigated for unauthorised pursuit of regulated business in Greece or abroad?

No

Yes If yes, please specify

**3.9** Have you ever obstructed the effective exercise of supervisory functions by competent authorities in Greece or abroad?

No

Yes

**3.10** Have you ever been refused authorisation or licence to carry out a trade, business, or profession, or has any such authorisation or licence been withdrawn?

No

Yes If yes, please specify

**3.11** Have you ever been assessed by another supervisory authority, in Greece or abroad, either as a proposed shareholder of a credit institution or as a member of the management body or key function holder?

If yes, please state the name of the authority and attach, as Attachment 4, the relevant documentation.

Have you ever been assessed by any competent authority from another, non-financial sector? If yes, please attach, as Attachment 4, the relevant documentation.

**4. Relations with other persons/organisations**

**4.1** Do you hold, directly or indirectly, a stake in the capital and/or are a member of the management body of another firm, in Greece or abroad?

Holder of a stake

Please provide the following information:

|  |  |  |
| --- | --- | --- |
| Company name | Kind of holding (direct/ indirect) | Percentage |
|  |  |  |
|  |  |  |

Member of the management body

Please provide the following information:

|  |  |  |
| --- | --- | --- |
| Company name | Position (executive member etc.) | End of term |
|  |  |  |
|  |  |  |
|  |  |  |

**4.2** Does any of the entities referred to in the answers to question 4.1 above have any business relationship with the target firm?

YES  NO

If yes, provide the following information:

(a) name of the company, its main activities, etc.; and

(b) nature of the business relationship.

**4.3** Please disclose any relations referred to in Article 1(5)(e) of Law 4354/2015.

**4.4** Please disclose any financial or non-financial interests, as well as any relations between you or your spouse, descendants or ascendants with:

• shareholders of the target firm,

• persons holding voting rights in the target firm,

• members (whether incumbent or candidate) of the management body;

• the firm itself,

• legal persons of the group the firm is a member of.

**4.5** Please disclose any potential conflict of interests or activities with the applicant.

If there is any such conflict, submit proposals for resolving it.

**5. Letters of recommendation**

Please provide the contact data of two persons from which the Bank of Greece could contact for letters of recommendation.

|  |  |  |
| --- | --- | --- |
| Name |  |  |
| Surname |  |  |
| Company |  |  |
| Position |  |  |
| Telephone number |  |  |
| E-mail |  |  |

**6. Attachments**

Please list the required supporting documents that accompany the application.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Attachment |  | Paragraph | Submitted | N/A |
| 1 | Authenticated copies of police identity card or passport (for non-residents) | 17 |  |  |
| 2 | CV | 2 |  |  |
| 3 | Transcript of criminal record issued by the competent judicial authority or other equivalent document for non-residents | 3.1 |  |  |
| 4 | Documents concerning any assessment by a financial or non-financial authority | 3.11 |  |  |
| 5 | Others. Please specify |  |  |  |

**7. DECLARATION – AUTHORISATION**

I, the undersigned       hereby solemnly declare that:

(a) the information and data provided in this questionnaire are complete and true, and I agree to provide the Bank of Greece with any further information and clarifications in respect of this questionnaire;

(b) I am aware that any wilful or negligent provision of untrue or misleading information to the Bank of Greece also entails criminal sanctions;

c) I hereby provide my express permission to the Bank of Greece and its duly authorised staff to seek and obtain information from any other party (including, but not limited to, my current and previous employers, credit institutions, other domestic or foreign supervisory or regulatory authorities), as necessary to verify data provided in this questionnaire; and

(d) the Bank of Greece shall be notified promptly in writing of any change in the information in this questionnaire.

Being fully cognizant of the legal consequences, I hereby provide my explicit and unconditional consent to the collection, alignment, combination and processing of the records containing my personal data, which are kept by the Bank of Greece, as well as to the transmission of such data in accordance with the provisions of the current institutional framework.

Whenever needed or considered appropriate by the Bank of Greece, I shall assist and cooperate in order to achieve compliance with the obligations that are incumbent either upon myself personally or upon the target firm.

This declaration extends to both the current and any future data and information concerning myself, which are collected for supervisory purposes.

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(signature) (Name & position)

Place and date: