

Chapter 4

Commission Delegated Regulation (EU) No 449/2012

Article 15 Fitness and appropriateness

(1) A credit rating agency shall provide the FCA with the curriculum vitae, including employment history with relevant dates, identification of positions held and a description of the functions occupied, for each of the following:

- (a) members of senior management;
- (b) persons appointed to direct the business of the branches;
- (c) officers responsible for internal audit, internal control, compliance function, risk assessment and review function.

(2) A credit rating agency shall provide the FCA with the following information in respect of each member of its senior management:

- (a) a recent criminal-record file from the country of origin of the relevant person, unless the relevant national authorities do not issue such a file;
- (b) a self-declaration of their good repute including at least the statements set out in Annex VI and signed by the individual.