

## Chapter 4

# Commission Delegated Regulation (EU) 2020/1230

## Article 17 Senior management and members of the board

An application for registration as a securitisation repository shall contain the following information in respect of each member of the senior management:

(a) a copy of the member's curriculum vitae, including the following information to the extent relevant in assessing the adequacy of the member's experience and knowledge for the purposes of performing his or her responsibilities:

(i) an overview of the member's post-secondary education;

(ii) the member's employment history with dates, identification of positions held and a description of the functions occupied;

(iii) any professional qualification held by the member, together with the date when that qualification was acquired and the status of any membership in a relevant professional body;

(b) detailed information on knowledge and experience on securitisation matters and on IT management, operations and development;

(c) details regarding any criminal convictions in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement, in particular in the form of an official certificate, if available;

(d) a declaration signed by the member that states whether he or she:

(i) has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement;

(ii) has been subject to any adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority or government body or agency or is the subject of any such proceedings which are not concluded;

(iii) has been subject to an adverse judicial finding in civil proceedings before a court in connection with the provision of financial or data services, or for impropriety or fraud in the management of a business;

(iv) has been part of the board or senior management of an undertaking whose registration or authorisation was withdrawn by a regulatory body;

(v) has been refused the right to carry on activities which require registration or authorisation by a regulatory body;

(vi) has been part of the board or senior management of an undertaking which has gone into insolvency or liquidation, either while the member was connected to the undertaking or within a year of the member's ceasing to be connected to the undertaking;

(vii) has been part of the board or senior management of an undertaking which was subject to an adverse decision or penalty by a regulatory body;

(viii) has been otherwise fined, suspended, disqualified, or been subject to any other sanction in relation to fraud, embezzlement or in connection with the provision of financial or data services, by a government or regulatory or professional body;

(ix) has been disqualified from acting as a director, disqualified from acting in any managerial capacity, or dismissed from employment or other appointment in an undertaking as a consequence of misconduct or malpractice;

(e) a declaration of any potential conflicts of interests that the member may have in performing his or her duties and how these conflicts are managed.