**QUESTIONNAIRE - DECLARATION**

**ON QUALIFICATION, PROFESSIONAL EXPERIENCE AND GOOD REPUTE UNDER ARTICLE 5, PARAGRAPH 1, ITEM 2 OF ORDINANCE NO 16 OF THE BNB**

**1. General information**

1.1. Name and unified identification code (UIC) of the company wishing to obtain a license:

1.2. Name and UIC of the branch/agent of the person under item 1.1, or of the licensed payment institution or electronic money institution, and name and UIC of the licensed payment institution or electronic money institution, respectively:

*(where the questionnaire is completed by the persons managing and representing branches or by agents of the company under item 1.1 or a licensed payment institution, or electronic money institution)*

1.3. Position of the person managing or representing the company under item 1.1 (or the branch/agent of the person under item 1.2):

1.4. Start date:

1.5. Duties, responsibilities and powers related to the position:

2. Personal data of the person managing and representing the company under item 1.1 or who is a member of the management and supervisory body of this company (correspondingly, personal data of the person managing and representing the branch/agent under item 1.2).

2.1. Full name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.2. Date and place of birth: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.3. Identity number/Personal number of a foreigner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.4. Citizenship: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.5. Sex: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.6. Permanent address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.7. Present address (if different):

2.8. Telephone number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.9. Email address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.10. Have you ever changed your name?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please complete the information under item 2.10.1 – 2.10.3.)*

2.10.1. Previous name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.10.2. Date of change *(****DD/MM/YYYYY****)*: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.10.3. Reason for the change: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3.1. Education:

3.1.1. Type of education (please specify the highest educational attainment and the field of study):

3.1.2. Educational establishment, year of completion of the degree:

3.2. Language skills:

|  |  |
| --- | --- |
| Language | *Please specify the level, according to the Common European Framework of Reference for Languages.* |
|  |  |
|  |  |

*(If more than two, please add additional fields)*

3.3. Professional qualification:

3.3.1. Qualification obtained, date of qualification, body awarding the evidence of qualification

3.3.2. Qualification obtained, date of qualification, body awarding the evidence of qualification

*(Please add additional fields to complete the list)*

4. Professional experience

4.1. Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4.1.1. Position held: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4.1.2. Period *(DD/MM/YYYYY)*

|  |  |
| --- | --- |
| From | To |
|  |  |

4.1.3. Employer’s address, telephone number and email address:

4.2. Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4.2.1. Position held: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4.2.2. Period (DD/MM/YYYYY)

|  |  |
| --- | --- |
| From | To |
|  |  |

4.2.3. Employer’s address, telephone number and email address:

5. Information on companies in which the person managing and representing the company under item 1.1 or in which this person is a member of the management and supervisory body (the person managing and representing the branch/agent under item 1.2, respectively) has or has had over the past five years qualifying holdings:

5.1.1 Name and UIC of the company, registered and head office address:

5.1.2. Percentage share in the equity, number of shares or units and total nominal amount in BGN:

|  |  |  |
| --- | --- | --- |
| Share (%) | Number of shares/units | Total nominal amount (BGN) |
|  |  |  |

5.1.3. Equity interest acquisition date (DD/MM/YYYYY):

5.1.4. Date of change (DD/MM/YYYYY): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5.1.5. Has the company ever been or is it currently subject to enforcement?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If yes, please specify the type and amount of the liability; the reasons behind the enforcement and the results.)*

5.1.6. Has the company ever been or is it currently subject to imposed attachments, freeze or other enforcement measures?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify what they are and for what liabilities they have been imposed.)*

5.1.7. Has the company ever been terminated due to bankruptcy or is it currently subject to bankruptcy proceedings?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the number and date of the judgement to conclude bankruptcy proceedings and delete the company, or the number and date of the judgement to institute bankruptcy proceedings, respectively.)*

5.2.1 Name and UIC of the company, registered and head office address:

5.2.2. Percentage share in the equity, number of shares or units and total nominal amount in BGN:

|  |  |  |
| --- | --- | --- |
| Share (%) | Number of shares/units | Total nominal amount (BGN) |
|  |  |  |

5.2.3. Equity interest acquisition date (DD/MM/YYYYY):

5.2.4. Date of change (DD/MM/YYYYY): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5.2.5. Has the company ever been or is it currently subject to enforcement?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If yes, please specify the type and amount of the liability; the reasons behind the enforcement and the results.)*

5.2.6. Has the company ever been or is it currently subject to imposed attachments, freeze or other enforcement measures?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify what they are and for what liabilities they have been imposed.)*

5.2.7. Has the company ever been terminated due to bankruptcy or is it currently subject to bankruptcy proceedings?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the number and date of the judgement to conclude bankruptcy proceedings and delete the company, or the number and date of the judgement to institute bankruptcy proceedings, respectively.)*

6. Information on companies over which the person managing and representing the company or who is a member of the management and supervisory body of the company under item 1.1 (the person managing and representing the branch/agent under item 1.2, respectively) exercises or has exercised control over the past five years:

6.1. Name of the company, registered and head office address, UIC:

6.2. Manner of exercising control over the company:

6.3. Initial date of control (DD/MM/YYYYY): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

6.4. Date of change (DD/MM/YYYYY): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

6.5. Has the company ever been or is it currently subject to enforcement?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If yes, please specify the type and amount of the liability; the reasons behind the enforcement and the results.)*

6.6. Has the company ever been or is it currently subject to imposed attachments, freeze or other enforcement measures?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify what they are and for what liabilities they have been imposed.)*

6.7. Has the company ever been terminated due to bankruptcy or is it currently subject to bankruptcy proceedings?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the number and date of the judgement to conclude bankruptcy proceedings and delete the company, or the number and date of the judgement to institute bankruptcy proceedings, respectively.)*

7. Information on financial discipline/integrity of the person managing and representing the company or in which this person is a member of the management and supervisory body under item 1.1 (the person managing and representing the branch/agent under item 1.2, respectively):

7.1. Do you have/have you ever had any overdue liabilities?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the type and amount of these liabilities and to whom they are (country, municipality, bank, third parties.)*

7.2. How have the liabilities under item 7.1 been repaid?

7.3. Have you ever been or are you currently subject to enforcement?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If yes, please specify the type and amount of the liability; the reasons behind the enforcement and the results.)*

7.4. Have any administrative sanctions been imposed on you for infringements of tax legislation?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the grounds for imposition of the administrative sanction and its type.)*

7.5. Are you currently subject to penal administrative proceedings initiated against you for infringements of tax legislation?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify relevant infringements and the stage reached in proceedings.)*

7.6. Please indicate the amount of taxes paid by you during the last two years:

|  |  |
| --- | --- |
| Year | Amount (BGN thousand) |
|  |  |
|  |  |

8. Information on financial discipline/integrity of the company under item 1.1 (or the branch/agent under item 1.2):

8.1. Does the company have/has it ever had any overdue liabilities?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the type and amount of these liabilities and to whom they are (country, municipality, bank, third parties.)*

8.2. How have the liabilities under item 8.1 been repaid?

8.3. Has the company ever been or is it currently subject to enforcement?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If yes, please specify the type and amount of the liability; the reasons behind the enforcement and the results.)*

8.4. Have any administrative sanctions been imposed on the company for infringements of tax legislation?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the grounds for imposition of the administrative sanction and its type.)*

8.5. Is the company currently subject to penal administrative proceedings for infringements of tax legislation?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify relevant infringements and the stage reached in proceedings.)*

9. Cooperation with competent authorities:

9.1. Have any administrative sanctions or compulsory administrative measures been imposed for violation of primary and secondary legislation applicable to the activity of entities in the banking or financial sector, including in a payment institution, an electronic money institution or an account information service provider, in institutions comparable to a bank or in companies comparable to a bank upon you or a company: 1) in which you have held a managerial position (‘persons holding a management position’ within the meaning of § 1, item 1 of the Additional Provisions of Ordinance No 20 of the BNB of 2019 on the Requirements to the Members of the Management and Controlling Bodies of a Credit Institution and on the Assessment of the Suitability of Their Members and the Key Function Holders; 2) over which you are exercising or have exercised control; 3) in which you hold or have held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, position held, manner of exercising control, percentage of qualifying holdings, legal provisions that have been violated, date and number of the act imposing the penalty or measure and authority that had issued it.)*

9.2. Are you aware of any pending penal administrative proceedings or compulsory administrative measures initiated under item 9.1?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, position held, manner of exercising control, percentage of qualifying holdings, legal provisions that have been violated, date of opening the proceedings and authority that had issued it.)*

9.3. Have you ever been dismissed on the grounds of applied compulsory administrative measures from a managerial position in an entity of the banking or financial sector, including in a payment institution, an electronic money institution or an account information service provider, an institution comparable to a bank or a company comparable to a bank?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, position held, grounds for dismissal, date and number of the act of dismissal and the authority that had issued it.)*

9.4. Has a licence ever been refused for activities subject to a licensing procedure by the BNB, Financial Supervision Commission or a relevant competent authority in other countries to a company: 1) in which you have held a managerial position; 2) over which you are exercising or have exercised control; 3) in which you hold or held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the subject of the license, the competent authority that has refused to issue the license, the name and UIC of the company, the position held, accordingly the manner of exercising control, percentage of qualifying holdings, grounds for refusal of the license, the number and date of the act whereby the license was refused.)*

9.5. Has a licence been withdrawn or withdrawal proceedings instituted of a company: 1) in which you have held a managerial position; 2) over which you are exercising or have exercised control; 3) in which you hold or held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the subject of the license, the competent authority that has withdrawn the license, the name and UIC of the company, the position held, accordingly the manner of exercising control, percentage of qualifying holdings, grounds for withdrawal of the license, the number and date of the act whereby the license was withdrawn.)*

9.6. Has a deletion or registration been refused to a company for activities subject to a registration procedure of the BNB, Financial Supervision Commission or a relevant competent authority in other countries, to you as a natural person or to a company: 1) in which you have held a managerial position; 2) over which you are exercising or have exercised control; 3) in which you hold or have held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the subject of registration, the competent authority that has refused or deleted the registration, the reason for the refusal or deletion, the number and date of the act accordingly, the name and UIC of the company, the position held, the manner of exercising control accordingly, percentage of qualifying holdings.)*

9.7. Has a registration, membership or issuance of a permit or license for conducting trading, business activities or exercising a profession ever been refused to you as a natural person or company: 1) in which you have held a managerial position; 2) over which you are exercising or have exercised control; 3) in which you hold or held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the subject of the registration, permit, membership or license, the competent authority that has refused the registration, permit, membership or license, the reason for refusal, the number and date of the relevant act; the name and UIC of the company; the position held, the manner of exercising control accordingly, the percentage of qualifying holdings.)*

9.8. Has a licence been withdrawn or a registration, permit or membership for conducting trading, business activities or exercising a profession been terminated in respect to you as a natural person or company: 1) in which you have held a managerial position; 2) over which you are exercising or have exercised control; 3) in which you hold or held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the subject of the registration, permit, membership or license, the competent authority that has terminated the registration, permit, membership or license, the reason for the termination, the number and date of the relevant act; the name and UIC of the company; the position held, the manner of exercising control accordingly, the percentage of qualifying holdings.)*

9.9. Have you been excluded from a public body or entity in the sector of financial services or from a professional body or association?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, the position held, the number and date of the decision on exclusion from the public body or entity in the sector of financial services or from a professional body or association.)*

9.10 Have you ever held a managerial position or been an unlimited liability partner in a company terminated due to bankruptcy or in a company that is currently under bankruptcy proceedings?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, the position held, the number and date of the decision whereby the bankruptcy was declared.)*

9.11. Has a company been terminated due to a court decision: 1) in which you have held a managerial position; 2) over which you have exercised control; 3) in which you have held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

(If ‘yes’, please indicate the name and UIC of the company, the position held, the number and date of the decision whereby the activity of the company was terminated.)

9.12. Have your qualification, professional experience and good repute (fitness and probity) been assessed by the Bulgarian National Bank, the Financial Supervision Commission or a relevant competent authority in the financial and non-financial sectors, as well as by a relevant competent authority in other countries for holding a managerial position or acquiring qualifying holdings?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name of the authority that has made the assessment, the date, reasons and the result thereof.)*

9.13. Have you ever been refused an appointment on a managerial position or acquisition of a qualifying holding by the Bulgarian National Bank, the Financial Supervision Commission or a relevant competent authority in other countries?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the authority that has made a decision for the refusal and the reason thereof.)*

10. Supplementary information:

10.1. Do you have financial obligations to the company under item 1.1 (branch/agent under item 1.2)?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the type and amount of these obligations.)*

10.2. Have you ever been imposed disciplinary sanctions for violation of labour legislation?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the employer’s name, the reason for imposition of the disciplinary sanction and its type.)*

10.3. Have you ever been dismissed from a managerial position except in the cases under item 10.2?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the reasons for dismissal.)*

10.4. Are you subject to pending criminal proceedings of indictable offences?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please specify the legal classification of the crime, the date and place of opening the proceedings.)*

10.5. Have you ever had a modified audit opinion (certified with reservation or refused certification, respectively) after an audit of a company: 1) in which you have held a managerial position; 2) over which you have exercised control; 3) in which you have held qualified interest?

|  |  |
| --- | --- |
| Yes | No |
|  |  |

*(If ‘yes’, please indicate the name and UIC of the company, the position held, the manner of exercising control accordingly, the percentage of qualifying holdings, the reasons of the modified audit opinion.)*

10.6. Please, provide any additional information which you believe is essential:

I hereby solemnly declare that:

1. I give my explicit consent to the BNB to process the data and information contained in this questionnaire declaration.

2. The statements made and the information specified in this questionnaire declaration are true and correct to the best of my knowledge and I am not aware of any other information whose submission could affect the declared circumstances.

3. I hereby undertake, upon a change in declared circumstances, to notify the BNB thereof in accordance with Article 3, paragraph 8 of BNB Ordinance No 16 on Issuance of Licenses and Approvals, Entry into the Register under Article 19 of the Law on Payment Services and Payment Systems, and Requirements to the Activity of Operators of Payment Systems with Settlement Finality.

4. I hereby declare that I am aware of the penal liability in case of providing false or inaccurate information.

The Bulgarian National Bank is a personal data controller. All personal data provided by you on a voluntary basis are collected and processed for the purposes of your identification and for the purposes of BNB Ordinance No 16 of 2018 on Issuance of Licenses and Approvals, Entry into the Register under Article 19 of the Law on Payment Services and Payment Systems, and Requirements to the Activity of Operators of Payment Systems with Settlement Finality. Third persons may obtain information only under the procedure and terms laid down by law. You are entitled to both access and rectification of collected personal data.

Date *(DD/MM/YYYYY)*:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_