Request for an opinion on the proposed appointment of specific controllers

**Appendix 2 – Document 1 - Statement to be completed by specific controllers of *sociétés de crédit foncier* (mortgage credit institutions) and *sociétés de financement de l’habitat* (home loan companies)**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(Date and place)*

I, the undersigned: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(Full name)*

Located at: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(*Address)*

Telephone \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

A member, in my capacity as \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

of (*name and address of firm*)

With a view to: my appointment / my reappointment \*

As an individual specific controller / specific controller acting in the name of a firm \*

And as:principal controller / alternate controller \*

Of *(company name of the supervised entity wishing to appoint the controller*)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*\* delete as appropriate*

Confirm that I am registered on the list referred to in Article L. 822-1 of the French Commercial Code (*Code de commerce*),

I hereby confirm that I have performed the necessary checks to assess whether acceptance of the proposed assurance engagement would place me in a situation that might prevent compliance with the core principles that guide the conduct of statutory auditors as contained in the Code of Ethics (*Code de déontologie*) and the applicable professional standards, and that more specifically might breach the principles relating to impartiality, independence, competence and prevention of conflicts of interest necessary to carry out my engagement (*if need be, describe the risks identified and protective measures put in place in a separate letter*).

More specifically, I confirm in my own name and (*if applicable*) on behalf of the firm in whose name I would be performing the above-mentioned engagement, that:

* I have the necessary integrity to accept the proposed appointment, and more specifically have not been the subject of any disciplinary or legal sanctions that would prevent me from accepting the proposed appointment;
* I have an organisation that satisfies the conditions stipulated in Article 15 of the Code of Ethics, and a level of competence and human and physical resources that are appropriate in view of the size and nature of the supervised entity’s business activities and the scope of my engagement;
* No situation or financial, personal or professional ties with the supervised entity that wishes to appoint me exist that could compromise my independence or might be perceived as affecting the impartial nature of my assurance engagement, and in particular I have taken all necessary measures to ensure compliance with Articles L. 822-10 to L. 822-14 of the Commercial Code, the Code of Ethics and applicable professional standards. I am aware of the limitations imposed by Article L. 822-11 of the Commercial Code as regards the provision of services by the statutory auditor and (*if applicable*) by the auditor’s network; moreover, I confirm that I have no financial ties that might place me in a position that is incompatible with the performance of my engagement pursuant to Article 28 of the Code of Ethics, and I have verified that the members of the statutory audit team do not have any personal, financial or professional links with the supervised entity that are incompatible with the statutory audit engagement, pursuant to Articles 26 to 30 of the Code of Ethics.

I undertake to inform the ACPR of any developments that may create or result in the detection of any situations that call into question the substance of this statement during my engagement.

I also undertake, in accordance with Article 12 of the Code of Ethics applying to statutory auditors, to inform the ACPR if I resign during my term of office.

Lastly, I declare that I am familiar with Article L. 513-23 of the Monetary and Financial Code (*Code monétaire et financier*) on the specific controller’s duty to report information concerning supervised entities to the ACPR.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Date and Signature*

*Pursuant to French law, and more specifically the French Data Protection Act of 6 January 1978 (la loi n° 78-17 relative à l’informatique, aux fichiers et aux libertés), any person wishing to access and correct personal data should contact the ACPR Secretary General at: Secrétariat général de l’Autorité de contrôle prudentiel et de résolution, Directions du Contrôle des Banques, 61, rue Taitbout, 75436 Paris Cedex 09.*