



Altura Credit Union Ltd. Due Diligence Control Function Questionnaire

Standard Including Fitness and Probity Due Diligence	Supporting documentation obtained from a third party	CF / PCF	
Is the employee/prospective employee/ Director/ prospective Director/Board Oversight member/prospective Board Oversight member able to demonstrate that they are competent and capable?	Has professional or other qualifications relevant to their role? Evidenced of Professional Qualifications? Provision of a copy of the relevant transcripts? Record of previous experience?		
	Has the skills and competence to carry out their role, through experience gained in a professional or voluntary context or training demonstrated with documentation or rationale? Has a solid understanding of the Credit Union business and their specific responsibilities? Has a comprehensive understanding of the regulatory and legal environment appropriate to their function? Record of Interview?		
	Proof of a Professional Body Check? Has the competency and skills based on the performance of previous or current functions which could be deemed to fall under the existing fitness and probity regime (for other financial institutions) or the proposed fitness and probity regime?		
	Employer's References? References checked and documented? Record of experience gained outside the State?		
	Is compliant with any applicable minimum competency code issued by the Central Bank 2011? Evidence of CPD (where relevant)? Evidence of MCC (where relevant)?		
	Will not allow concurrent responsibilities to impair their ability to discharge their duties or would otherwise result in conflicts of interest arising? Concurrent responsibilities if any?		
	Honest, ethical and with integrity?	Garda Check /Convictions? Regulator Check?	
	Financial Soundness?	Judgements Search?	

Y = Checks undertaken by the credit union (proof to be retained by the)

SC = Self Certify

I/A = If Applicable

Annual confirmation is required of a person's continued compliance with the Standards.

GOREY CREDIT UNION

Confirmation of Compliance with Fitness & Probity Standards

Agreement pursuant to Section 21 (b) of the Central Bank Reform Act 2010 ("the Act").

Section 21 of the Act provides as follows:

(1) A regulated financial services provider shall not permit a person to perform a controlled function unless-

(a) the regulated financial services provider is satisfied on reasonable grounds that the person complies with any standard of fitness and probity in a code issued under section 50 and

(b) the person has agreed to abide by such standard.

I confirm that I have read the code setting out Standards of Fitness and Probity for credit unions and the Guidance for credit unions issued by the Central Bank of Ireland pursuant to Section 50 of the Act (the "Standards") and

I confirm that I comply with those standards.

I agree to abide by the standards.

I agree to notify the credit union without delay if for any reason I no longer comply with the standards.

SIGNATURE: _____

DATE: _____