

Template 3

Annual declaration of interests

You are required to sign this form in order to confirm that you have read and taken note of Article 11a of the Staff Regulations as applied by the Conditions of Employment of Other Servants. Signing this declaration should prompt you to consider whether you may have a possible conflict of interest that could affect the performance of your duties at ESMA. The act of signing the declaration should also remind you that when you do have a conflict of interest you should alert the Appointing Authority by using the form available in Template 4.

Article 11a of the Staff Regulations states the following:

1. *An official shall not, in the performance of his duties and save as hereinafter provided, deal with a matter in which, directly or indirectly, he has any personal interest such as to impair his independence, and, in particular, family and financial interests.*
2. *Any official to whom it falls, in the performance of his duties, to deal with a matter referred to above shall immediately inform the Appointing Authority. The Appointing Authority shall take any appropriate measure, and may in particular relieve the official from responsibility in this matter.*
3. *An official may neither keep nor acquire, directly or indirectly, in undertakings which are subject to the authority of the institution to which he belongs or which have dealings with that institution, any interest of such kind or magnitude as might impair his independence in the performance of his duties.*

I hereby declare that I have read Article 11a of the Staff Regulations and am aware of my obligations and attach a list of my current interests¹. Whenever I have a conflict of interests I will alert the Appointing Authority.

Name: Verena Ross	Date: 14/02/19	Signature: <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">signed</div>
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Please send a signed copy of this form to the Ethics Officer.

Please fill in a new form at the start of each year.

¹ You may use the table overleaf, or your own list containing equivalent information (eg a list provided by your bank).

- I have no interest to declare
- I confirm I have no interests to declare under section 6.2
- I declare the following interests in accordance with section 6.3:

In all cases, please provide as many details as possible about the declared interests, whether current or from the past 2 years. Please also provide all relevant information where interests relate to close family members.

Financial interests to be declared

Issuer	Financial instrument (please include ISIN)	Date holding acquired	Current holding or number of shares
Deutsche Telekom AG	DE0005557508	14.09.2002	123
Aurubis AG	DE0006766504	20.05.2003	530
Daimler AG	DE0007100000	14.09.2002	201
Nokia Corp.	FI0009000681	14.09.2002	400
Royal Dutch Shell	GB00B03MLX29	Prior to May 2011 (dividends automatically reinvested)	374
Engie S.A. (formerly GDF Suez S.A.)	FR0010208488	14.08.2008	357
Suez Environnement CO S.A.	FR0010613471	06.08.2008	97
BASF SE	DE000BASF111	02.08.2010	800
Amun.F.II-P. Global Select (previously: Pioneer FDS – Global Select)	LU0271651761	20.11.2007	130
Amundi Total Return (previously: Pioneer Inv. Total Return)	LU0149168907	28.01.2009	375
Hansaimmobilia	DE0009817700	25.08.2009	268,44
Amun Discount Balanced (previously: Pioneer Investment Disc. Balanced)	DE0007012700	25.08.2009	245
Carmignac Patrimoine FCP	FR0010135103	16.06.2010	30
F&C FD-F&C HVB Stiftungsfonds	LU0340958098	13.02.2008	29

Other interests to be declared

Nature of interests	Period (from /till)	Organisation	Subject matter/ Reasons (why this interest could create a conflict of interests)
I. Other Economic Interest	1. 2.		
II. Membership in a managing body or equivalent structure or a trade association or other relevant membership	1. 2.		
III. Employment or Consultancy	1. 2.		
IV. Intellectual Property Rights	1. 2.		
V. Others	From March 2015	European Medicines Agency	Member of EMA's Disciplinary Board