

ACCEPTANCE OF THE MANDATE AS AN MLA AUDITING FIRM
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MEMBER : **N° :**.....

Your MLA auditing firm and its lead auditors must be accredited by ARIF (list available on Internet on the following link <http://www.arif.ch/reviseurs.htm>).

In order to be accredited by ARIF, the auditing firm must compulsorily:

- a. possess specific professional knowledge in financial and MLA matters;
- b. offer all guarantees of an irreproachable activity and enjoy a good reputation;
- c. be independent of the financial intermediaries whom he audits;
- d. be sufficiently well organized to conduct audits;
- e. not engage in any activity subject to authorization by virtue of the laws governing the financial markets;
- f. be authorized as an auditor. If the auditing firm is appointed to conduct audits relating to the ARIF Code of Deontology, it must hold a certification as an audit expert;
- g. The auditing firm must have insurance cover against third-party liability risks covering financial damage of a minimum amount of CHF 250,000.-; this is without prejudice to higher amounts required by ARIF of certain auditors;
- h. apply for accreditation by ARIF and to this effect file a complete dossier (list of requested documents available on the Internet site of ARIF www.arif.ch);
- i. undertake to cooperate with ARIF and to transmit to it all useful information on the execution and the result of his audits.

In order to be approved by ARIF, the lead auditors must compulsorily:

- a. benefit from an auditor's certification issued by the Audit Oversight Authority (FAOA). If he is appointed to conduct audits relating to the ARIF Code of Deontology, the lead auditor must hold a certification as an audit expert;
- b. have at all times the technical knowledge and experience necessary to conduct an audit in accordance with the laws governing the financial markets.

Your ARIF-accredited MLA auditing firm must provide ARIF with a letter certifying its acceptance of the mandate as an MLA auditing firm or, alternatively, complete the following statement :

Full corporate name	
Name(s), first name(s) / of the authorised auditor(s)	
Address	
Telephone no	
Fax	
Email	

The Undersigned, MLA auditing firm accredited by ARIF, certifies the acceptance of the mandate as an MLA auditing firm for the financial intermediary :

Authorised signature(s) and name of signatory (signatories)	Date	Stamp