

TEMPLATE OF A LETTER ATTESTING COMPLIANCE<sup>1</sup>

To IVASS  
Sanctions Directorate  
or  
Guarantee Committee

Re: Name of the undertaking or intermediary  
Notification of breach ref. no. .... of .....

With this letter, the undersigned, aware of the sanctions set forth in the Decree of the President of the Republic no. 445 of 2000, state that the defence materials sent to IVASS, pursuant to the applicable provisions, on an electronic medium, is identical to the one sent on paper.

Date

The legal representative of the Company

OR

The intermediary

OR

The Corporate Officer or the employee

Office held<sup>2</sup>

Signature

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<sup>1</sup> Please use this annex when sending rebuttal arguments related to sanctioning proceedings against the undertaking or the intermediary or the corporate officer or employee.

<sup>2</sup> Please indicate the corporate office held and any power of attorney; for the employees, please indicate the function (e.g. responsible for compliance, responsible for the preparation of the accounts, etc.). For the subjects no longer in office or no longer employed by the undertaking or the intermediary, please indicate the office/function for which the sanctioning procedure was initiated.