****

**APPLICATION FORM**

**FOR THE AUTHORIZATION TO PROVIDE**

 **DATA REPORTING SERVICES**

**Name of applicant : «…..……………………………..»**

**Purpose of this form**

**This document applies to entities that will provide data reporting services in accordance with Title V of the Investment Services and Activities and Regulated Markets Law of 2017 (the “Law”).**

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| For official use only The fees have been paid to the Accounting Department of the Cyprus Securities and Exchange Commission, as these are defined in the “Directive on Payable Charges and Fees (DI87-02)”. The receipt is attached.  …….………………………………………. Signature |

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| **APPLICATION FORM FOR AUTHORISATION AS A DATA REPORTING SERVICES PROVIDER** |
|  |  |
| Reference Number: |  |
| Date: |  |
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| **FROM:** |
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| Name of the applicant: |  |
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| Address: |  |
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| Legal Entity Identifier (where applicable): |  |
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| Contact details of the designated contact person at the applicant |
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| Full Name: |  |
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| Telephone: |  |
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| Email: |  |
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| **TO:** |
|  |
| Member State: | CYPRUS |
|  |  |
| Competent Authority: | CYPRUS SECURITIES AND EXCHANGE COMMISSION (CySEC) |
|  |  |
| Address: |  |
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| Contact details of the designated contact point at the competent authority |
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| Name: |  |
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| Telephone: |  |
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| Email: |  |
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| Dear Sirs,In accordance with Article 2 of the Commission Implementing Regulation (EU) No.2017/1110 laying down implementing technical standards with regard to standard forms, templates and procedures for the authorisation of data reporting services providers (the “Commission Implementing Regulation (EU) No.2017/1110”)please find attached the authorisation application. |
| **Person at the applicant in charge of preparing the application:** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Full Name: |  |
|  |  |
| Status/Position: |  |
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| Telephone: |  |
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| Email: |  |
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| Date: |  |
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| Signature: |  |
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| **Nature of the application (tick the relevant box(es)):** |
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| Authorisation – Approved Reporting Mechanism (ARM) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Authorisation – Approved Publication Arrangement (APA) |  |  |  |  |  |  |  |  |
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| Authorisation – Consolidated Tape Provider (CTP) |  |  |  |  |  |  |  |  |
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| **CONTENT** |
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| Please insert the information referred to under Commission Delegated Regulation (EU) 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers (the “Commission Delegated Regulation (EU) 2017/571”). Please set out that information under the appropriate section or make reference to the relevant annexes containing the information. |
|  |
| Please ensure that the submitted information clearly identifies which specific requirement of Commission Delegated Regulation (EU) 2017/571 it refers to and in which document that information is provided. |
|  |
| Where a requirement of Commission Implementing Regulation (EU) No.2017/1110 or Commission Delegated Regulation (EU)2017/571is not applicable to the data reporting service that the applicant is applying for, please state this in the application form. |
|  |
| Information on the organisation (Article 2 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 2 of Annex 1* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |
| Information on corporate governance (Article 3 of Commission Delegated Regulation(EU)2017/571*)* *Please refer to Section 3 of Annex 1* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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| Information on conflicts of interest (Article 5 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 4 of Annex 1* |
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| Information on organisational requirements regarding outsourcing (Article 6 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 5 of Annex 1* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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| Information on business continuity and back-up facilities (Article 7 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 6 of Annex 1* |
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| Information on testing and capacity (Article 8 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 7 of Annex 1* |
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| Information on security (Article 9 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 8 of Annex 1* |
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| Information on management of incomplete or potentially erroneous information by APAs and CTPs (Article 10 of Commission Delegated Regulation(EU)2017/571) *Please refer to* *Section 9 of Annex 1* |
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| Information on management of incomplete or potentially erroneous information by ARMs (Article 11 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section10 of Annex 1* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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| Information on connectivity of ARMs (Article 12 of Commission Delegated Regulation(EU)2017/571) *Please refer to Section 11 of Annex 1* |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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| Information on other services provided by CTPs (Article 13 of Commission Delegated Regulation(EU)2017/571)Please refer to Section 12 of Annex 1 |
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| Information on publication arrangements (Chapter 3 of Commission Delegated Regulation(EU)2017/571) |
| *Please refer to Section 13 of Annex 1* |

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| **NOTIFICATION FORM FOR THE LIST OF MEMBERS OF THE MANAGEMENT BODY** |
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| Reference Number: |  |
| Date: |  |
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| **FROM:** |
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| Name of the applicant: |  |
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| Address: |  |
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| Legal Entity Identifier (where applicable): |  |
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| Contact details of the designated contact person at the applicant |
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| Name: |  |
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| Telephone: |  |
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| **TO:** |
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| Member State: | CYPRUS |
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| Competent Authority: | CYPRUS SECURITIES AND EXCHANGE COMMISSION (CySEC) |
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| Address: |  |
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| Contact details of the designated contact point at the competent authority |
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| Name: |  |
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| Telephone: |  |
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| Dear Sirs,In accordance with Article 2 of the Commission Implementing Regulation (EU) No.2017/1110 laying down implementing technical standards with regard to standard forms, templates and procedures for the authorisation of data reporting services providers (the “Commission Implementing Regulation (EU) No.2017/1110”) please find attached the notification relating to the members of the management body. |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| **Person at the applicant in charge of preparing the application:** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Full Name: |  |
|  |  |
| Status/Position: |  |
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| Telephone: |  |
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| Email: |  |
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| Signature: |  |
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| **Members of the management body** |
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| **PLEASE FILL IN THE FOLLOWING INFORMATION FOR EACH OF THE MEMBERS OF THE MANAGEMENT BODY****Member 1** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Full Name |
|  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Date and place of birth |
|  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Personal national identification number or equivalent thereof |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Private address |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Contact details (Telephone and email address) |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Position |
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| Curriculum vitae attached to application: |  |  |  |  |  |  |  |  |  |  |
| Yes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| No |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Professional experience and other relevant experience |
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| Educational qualification and relevant training |
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| Criminal records attached to this application or where such document is not available in the relevant Member state, a self-declaration of good repute and authorisation to the competent authority to make enquiries under Article 4(d) of Commission Delegated Regulation (EU) 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers (the “Commission Delegated Regulation (EU) 2017/571”) |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Self-declaration of good repute and authorisation to the competent authority to make enquiries under Article 4(e) of Commission Delegated Regulation(EU)2017/571 |
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| Minimum time (approximate) that will be devoted to the performance of the person’s functions within the data reporting services provider |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Declaration of any potential conflicts of interest that may exist or arise in performing the duties and how these conflicts are managed |
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| Information pursuant to the guidelines developed under Article 64 (1)(a) and (b) of the Law and any additional information necessary for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties |
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| Effective date |
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| *[Please set out that information here or provide an explanation of how it will be provided, or make reference to the relevant annexes containing the information.]* |
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| **DECLARATION** |
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| **We responsibly declare, having full knowledge of the consequences of the Law, that:**1. **We have exercised all due diligence in ensuring that all the information stated in this application, as well as the details and documents that accompany it are correct, complete and accurate.**
2. **We have taken all necessary measures so that the applicant will fulfill all the requirements for the granting of a CIF authorisation, as these are defined in the Law.**
3. **We will notify the CySEC, in writing, immediately where, in the period between the submission of the application and the CySEC’s decision, a change takes place in the information or and details and documents submitted with the application.**

**We confirm that we are ready and willing to comply with the requirements or and obligations arising from the Law.** **We acknowledge and accept that the CySEC may reveal information in the discharge of its duties, as these are defined in the Law.****In accordance with sections 71, 93 and 94 of the Law, we understand that the provision of false, or misleading information or data or documents or forms, or the withholding of material information from the current notification, is subject to an administrative fine and may constitute a criminal offence.** ......................................................... ...........................................................Full name and capacity Signature......................................................... ...........................................................Full name and capacity Signature......................................................... ...........................................................Full name and capacity SignatureDate: ……………………………………….…………………………………………… |
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| **NOTIFICATION FORM FOR CHANGES TO THE MEMBERSHIP OF THE MANAGEMENT BODY** |
|  |
| Reference Number: |
| Date: |
|  |
| **FROM:** |
|  |
| Name of the Data Reporting Services Provider: |  |
|  |  |
| Address: |  |
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| Legal Entity Identifier (where applicable): |  |
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| Contact details of the designated contact person at the applicant |
|  |  |
| Name: |  |
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| Telephone: |  |
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| Email: |  |
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| **TO:** |
|  |
| Member State: | CYPRUS |
|  |  |
| Competent Authority: | CYPRUS SECURITIES AND EXCHANGE COMMISSION (CySEC) |
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| Address: |  |
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| Contact details of the designated contact point at the competent authority |
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| Name: |  |
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| Telephone: |  |
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| Dear Sirs,In accordance with Article 2 of the Commission Implementing Regulation (EU) No.2017/1110 laying down implementing technical standards with regard to standard forms, templates and procedures for the authorisation of data reporting services providers (the “Commission Implementing Regulation (EU) No. 2017/1110”) please find attached the notification relating to the changes to the membership of the management body. |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Person at the applicant in charge of preparing the application:** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Full Name: |  |
|  |  |
| Status/Position: |  |
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| Telephone: |  |
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| Email: |  |
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| Signature: |  |
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| **Information on Members leaving the management body** |
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| **Member 1** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Full Name |
|  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Contact Details (telephone and email address) |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Position |
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| Effective date of departure from management body |
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| Reasons for the departure from management body |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**INFORMATION ON NEW MEMBERS OF THE MANAGEMENT BODY**

|  |
| --- |
| Full Name |
|  |
|  |  |  |  |  |  |  |  |  |
| Date and place of birth |
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|  |  |  |  |  |  |  |  |  |
| Personal national identification number or equivalent thereof |
|  |
|  |  |  |  |  |  |  |  |  |
| Private address |
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|  |  |  |  |  |  |  |  |  |
| Contact details (Telephone and email address) |
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| Position |
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| Curriculum vitae attached to application: |
| Yes |  |  |  |  |  |  |  |  |
| No |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| Professional experience and other relevant experience |
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| Educational qualification and relevant training |
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| Criminal records attached to this application or where such document is not available in the relevant Member state self-declaration of good repute and authorisation to the competent authority to make enquiries under Article 4(d) of Commission Delegated Regulation(EU)2017/571 |
|  |
|  |  |  |  |  |  |  |  |  |
| Self-declaration of good repute and authorisation to the competent authority to make enquiries under Article 4(e) of Commission Delegated Regulation(EU)2017/571 |
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| Minimum time (approximate) that will be devoted to the performance of the person’s functions within the data reporting services provider |
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| Declaration of any potential conflicts of interest that may exist or arise in performing the duties and how these conflicts are managed |
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|  |  |  |  |  |  |  |  |  |
| Information pursuant to the guidelines developed under Article 64 (1)(a) and (b) of the Law and any additional information necessary for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties |
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|  |  |  |  |  |  |  |  |  |
| Effective date |
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|  |  |  |  |  |  |  |  |  |
| *[Please set out that information here or provide an explanation of how it will be provided, or make reference to the relevant annexes containing the information.]* |

**ANNEX 1 OF THE APPLICATION FOR THE GRANTING OF DATA REPORTING SERVICE PROVIDERS AUTHORISATION**

Please provide to CySEC the information set out below which is referred to in the Commission’s Delegated Regulation (EU) 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers (the “Commission Delegated Regulation (EU) 2017/571”). If this information is included in a document attached to this application, please provide the relevant reference.

This Annex is provided in order to facilitate the provision of correct and complete information. Kindly note that CySEC may require additional information.

|  |  |
| --- | --- |
| 1. **General information of the data reporting services provider**
 |  |
| Name of Legal Entity |  |
| Registration Number |  |
| Address |  |
| Postal code and city or town |  |
| Country |  |
| PO Box |  |
| Postal Code and city or town PO Box |  |
| Country |  |
| Telephone |  |
| Email Address |  |
| Website |  |
|  |  |
| 1. **The organisation- Article 2 of the Commission Delegated Regulation (EU) 2017/571**
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| 2.1. Programme of Operations  | Attach the required information, if applicable, and reference to where the information can be found in the Programme of Operations  |
| The Programme of Operations must include the following information:2.2. Information on the organisational structure of the applicant, including:(i) an organisational chart(ii) a description of the human, technical and legal resources allocated to its business activities2.3. Information on the compliance policies and procedures of DRS including:(i) the name of the person or persons responsible for the approval and maintenance of those policies(ii)the arrangements to monitor and enforce the compliance policies and procedures(iii)the measures to be undertaken in the event of a breach which may result in a failure to meet the conditions for initial authorisation(iv) a description of the procedure for reporting to the competent authority any breach which may result in a failure to meet the conditions for initial authorisation2.4. a list of all outsourced functions including an explanation of the resources allocated to the control of the outsourced functions2.5. A description in the organisational chart of any services offered other than data reporting services  |  |
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| 1. **Corporate governance- Article 3 of the Commission Delegated Regulation (EU) 2017/571**
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| 3.1. Information on the internal corporate governance policies and the procedures which govern the management body, senior management and, where established, committees |  |
| 3.2. Description of the processes for selection, appointment, performance evaluation and removal of senior management and members of the management body |  |
| 3.3 Description of the reporting lines and the frequency of reporting to the senior management and the management body |  |
| 3.4. Description of the policies and procedures on access to documents by members of the management body |  |
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| **4.0 Information on** **Conflicts of interest-** **Article 5 of the Commission Delegated Regulation (EU) 2017/571** |  |
| 4.1. Administrative arrangements designed to prevent conflicts of interest with clients and other entities using the services of the DRSPs |  |
| 4.2. Policies and procedures for identifying, managing and disclosing existing and potential conflicts of interest, including:(a) An inventory of existing and potential conflicts of interest, setting out their description, identification, prevention, management and disclosure(b) The separation of duties and business functions within the data reporting services provider including:(i) measures to prevent or control the exchange of information where a risk of conflicts of interest may arise(ii) the separate supervision of relevant persons whose main functions involve interests that are potentially in conflict with those of a client(c) a description of the fee policy for determining fees charged by the data reporting services provider and undertakings to which the data reporting services provider has close links(d) a description of the remuneration policy for the members of the management body and senior management(e) the rules regarding the acceptance of money, gifts or favours by staff of the data reporting services provider and its management body |  |
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| **5.0 Information on** **Outsourcing-** **Article 6 of the Commission Delegated Regulation (EU) 2017/571** |  |
| 5.1. Specification of activities that are to be outsourced, including a specification of the level of human and technical resources needed to carry out each of those activities |  |
| 5.2. Organisational measures ensuring that the data reporting service provider:(a) maintains its ability to perform senior management or management body functions (b) assesses whether the third party service provider is carrying out outsourced activities effectively and in compliance with applicable laws and regulatory requirements and adequately addresses identified failures(c) identifies the risks in relation to outsourced activities and adequate periodic monitoring(d) maintains adequate control procedures with respect to outsourced activities(e) ensures business continuity of outsourced activities[[1]](#footnote-1) |  |
| 5.3 In case of any outsourced critical functions\*, the following must be provided to CySEC:(a) the identification of the third party service provider(b) the organisational measures and policies with respect to outsourcing and the risks posed by it as specified in paragraph 4 of Article 6 of Commission Delegated Regulation (EU) 2017/571(c) internal or external reports on the outsourced activities\*[[2]](#footnote-2) |  |
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| 1. **Information on** **Business continuity and back-up facilities-** **Article 7 of the Commission Delegated Regulation (EU) 2017/571**
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| 6.1. Information on the evaluation procedures regarding technical infrastructures and associated policies and procedures, including business continuity arrangements |  |
| 6.2. Business continuity arrangements in place to address disruptive incidents, including:(a) the processes which are critical to ensuring the services of the data reporting services provider, including escalation procedures, relevant outsourced activities or dependencies on external providers(b) specific continuity arrangements, covering an adequate range of possible scenarios, in the short and medium term, including system failures, natural disasters, communication disruptions, loss of key staff and inability to use the premises regularly used(c) duplication of hardware components, allowing for failover to a back-up infrastructure, including network connectivity and communication channels(d) back-up of business-critical data and up-to-date information of the necessary contacts, ensuring communication within the data reporting services provider and with clients(e) the procedures for moving to and operating data reporting services from a back-up site;(f) the target maximum recovery time for critical functions, which shall be as short as possible and in any case no longer than six hours in the case of approved publication arrangements (APAs) and consolidated tape providers (CTPs) and until the close of business of the next working day in the case of approved reporting mechanisms (ARMs)(g) staff training on the operation of the business continuity arrangements, individuals’ roles including specific security operations personnel ready to react immediately to a disruption of services |  |
| 6.3 Programme for periodically testing, reviewing and, where needed, modifying the business continuity arrangements |  |
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| 1. **Information on t****esting and capacity-** **Article 8 of the Commission Delegated Regulation (EU) 2017/571**
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| 7.1. Development and testing methodologies ensuring that:(a) the operation of the IT systems satisfies the data reporting services provider’s regulatory obligations;(b) compliance and risk management controls embedded in IT systems work as intended;(c) the IT systems can continue to work effectively at all times |  |
| 7.2. Ongoing programme for periodically reviewing and, where needed, modifying the development and testing methodologies |  |
| 7.3 Information on stress tests and measures and procedures to address identified shortcomings in the systems |  |
| 7.4 Measures adopted to ensure that the DRSP maintains sufficient capacity to perform its functions efficiently and scalability to accommodate without undue delay any increase in the amount of information to be processed and in the number of access requests from its clients |  |
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| 1. **Information on s****ecurity-** **Article 9 of the Commission Delegated Regulation (EU) 2017/571**
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| 8.1. Procedures and arrangements for physical and electronic security designed to:(a) protect its IT systems from misuse or unauthorised access;(b) minimise the risks of attacks against the information systems as defined in Article 2(a) of Directive 2013/40/EU of the European Parliament and of the Council[[3]](#footnote-3);(c) prevent unauthorised disclosure of confidential information;(d) ensure the security and integrity of the data  |  |
| 8.2 Procedures and arrangements for investment firms using a third party (submitting firm) to submit information to an ARM, to ensure that the submitting firm does not have access to any other information about or submitted by the reporting firm to the ARM which may have been sent by the reporting firm directly to the ARM or via another submitting firm |  |
| 8.3 Measures and arrangements to promptly identify and manage the risks identified in paragraph 1 of Article 9 of Commission Delegated Regulation (EU) 2017/571 |  |
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| 1. **Informa****tion on Management of incomplete or potentially erroneous information by APAs and CTPs (not applicable to ARMs)-Article 10 of the Commission Delegated Regulation (EU) 2017/571**
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| 9.1. Arrangements to ensure that APAs and CTPs accurately publish the trade reports received from investment firms without themselves introducing any errors or omitting information and that information shall be corrected where they have themselves caused the error or omission |  |
| 9.2. Measures established in order to monitor continuously and in real-time the performance of IT systems |  |
| 9.3 Procedures established to conduct periodic reconciliations between trade reports received and trade reports published; Procedures established to verify the correct publication of information |  |
| 9.4. (for APAs only:) arrangements to identify on receipt of trade reports that are incomplete or contain information that is likely to be erroneous.These arrangements shall include automated price and volume alerts, taking into account:(a) the sector and the segment in which the financial instrument is traded;(b) liquidity levels, including historical trading levels;(c) appropriate price and volume benchmarks;(d) if needed, other parameters according to the characteristics of the financial instrument |  |
| 9.5. (for APAs only) policies adopted on information cancellation and amendments in trade reports which set out the penalties that APAs may impose on investment firms providing trade reports where the incomplete or erroneous information has led to the cancellation or amendment of trade reports |  |
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| 1. **Infor****mation on Management of incomplete or potentially erroneous information by ARMs (not applicable to APAs and CTPs)-** **Article 11 of the Commission Delegated Regulation (EU) 2017/571**
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| 10.1. Arrangements set up to identify transaction reports that are incomplete or contain obvious errors caused by clients |  |
| 10.2. Arrangements set up to identify transaction reports which contain errors or omissions caused by that ARM itself and to correct, including deleting or amending, such errors or omissions |  |
| 10.3 Procedures established to monitor in real-time the performance of the systems ensuring that a transaction report received has been successfully reported to the competent authority in accordance with Article 26 of Regulation (EU) No 600/2014 |  |
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| 1. **Connectivity of ARMs (not applicable to APAs and CTPs)-** **Article 12 of the Commission Delegated Regulation (EU) 2017/571**
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| 11.1. Policies, arrangements established and technical capabilities in place to comply with the technical specification for the submission of transaction reports |  |
| 11.2. policies, arrangements established and technical capabilities in place to receive transaction reports from clients and to transmit information back to clients |  |
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| 1. **Other services provided by CTPs (not applicable to APAs and ARMs)-** **Article 13 of the Commission Delegated Regulation (EU) 2017/571**
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| 12.1. please specify which of the following additional services will be provided:(a) provision of pre-trade transparency data;(b) provision of historical data;€ provision of reference data;(d) provision of research;€ processing, distribution and marketing of data and statistics on financial instruments, trading venues, and other market-related data;(f) design, management, maintenance and marketing of software, hardware and networks in relation to the transmission of data and information(g) other services than those specified under paragraph 1 of Article 13 above, provided that they do not affect the quality of the consolidated tape or the independence of the CTP |  |
| 12.2 Describe the procedures established for the provision of each service and the measures adopted to ensure that any risk affecting the quality of the consolidated tape or the independence of the CTP are adequately prevented or mitigated. |  |
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| 1. **Publication arrangements – Chapter III of the Commission Delegated Regulation (EU) 2017/571**
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| 13.1. The IT systems used to ensure that the information will be made public in a machine readable way[[4]](#footnote-4) (Article 14 of Commission Delegated Regulation (EU) 2017/571  |  |

1. As per Article 6(4) of the Commission Delegated Regulation (EU) 2017/571the DRSP shall obtain information on the business continuity arrangements of the third party service provider, assess its quality and, where needed, request improvements. [↑](#footnote-ref-1)
2. a function shall be regarded as critical if a defect or failure in its performance would materially impair the continuity compliance of the data reporting services provider with the conditions and the obligations of its authorisation or its other obligations under Directive 2014/65/EU. [↑](#footnote-ref-2)
3. ‘information system’ means a device or group of inter-connected or related devices, one or more of which, pursuant to a programme, automatically processes computer data, as well as computer data stored, processed, retrieved or transmitted by that device or group of devices for the purposes of its or their operation, use, protection and maintenance; [↑](#footnote-ref-3)
4. To ensure compliance, all requirements of paragraph (3) and (4) of Article 14 of the Regulation 2017/571 must be met. [↑](#footnote-ref-4)