Checklist - Application for Authorisation

Benchmark Administrator

Regulation (EU) 2016/1011 of the European Parliament and of the Council

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**NOTES ON COMPLETION**

This form includes a checklist of documents you need to send us with your application. Please ensure you have confirmed in all sections that you have attached the forms as necessary. All documents are required in support of your application and these must be sent in conjunction with your application.

Please note we are unable to process the application without all the necessary documentation.

**The Information we need for this application**

* 1. **This 'application for authorisation' pack consists of the following documents; please tick below to confirm the forms you have completed and enclosed.**

|  |  |  |  |
| --- | --- | --- | --- |
| 1.1.1 | Application for Authorisation - Benchmark Administrator Application Form |  | Attached |
|  |  |  |  |
| 1.1.2 | This checklist |  | Completed |
|  |  |  |  |
| 1.1.3 | Detailed IT Controls Form (for Critical Benchmark Administrators only) |  | Attached |
|  |  |  | Not Applicable |
| 1.1.4  | Excel Spreadsheet of schedule of benchmarks  |  | Attached |

* 1. **Supporting documents you are sending with this application, if applicable.**

**Please tick below the documents you are sending with this application.**

|  |  |  |  |
| --- | --- | --- | --- |
| 1.11 | Certificate of incorporation |  | Attached |
|  |  |  |  |
|  |  |  |  |
| 1.11 | Copy of Partnership agreement deeds |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 1.11 | Copy of Limited Liability Partnership agreement deeds |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 1.11 | Copy of deed of incorporation, articles of association or other constitutional documents |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 1.12 | Group structure chart |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 2.1 | Organisational structure chart |  | Attached |
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| --- | --- | --- | --- |
|  |  |  |  |
| 2.2 | Terms of reference |  | Attached |
|  |  |  |  |
|  |  |  | Summary provided in form |
|  |  |  |  |
|  |  |  |  |
| 2.4 | Procedures for ensuring employees have necessary skills |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 2.5 | Information on how the applicant firm will comply with Annex II paragraph 9(a) |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 2.7 | Form B – Members of the Management Body |  | Attached |
|  |  |  |  |
|  |  |  | Number Enclosed  |
|  |  |  |  |
| 3.1.1 | Procedures detailing how current and potential conflicts of interests are identified etc. |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 3.1.2 | Procedures detailing the controls in place in respect of the current or potential conflicts of interest |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 3.1.3 | Procedures detailing the particular circumstances that may apply to the applicant with regard to conflicts of interest |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 3.2 | Inventory of actual and potential conflicts of interest and mitigation measure if the firm administers a critical benchmark |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 3.3 | List of any material conflicts of interests |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |

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| 4.2.1 | Policies and procedures detailing information technology systems |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
| 4.2.2 | Policies and procedures detailing the risk management process |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 4.2.3 | Policies and procedures detailing the constitution, role and functioning of the oversight function |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 4.2.4 | Policies and procedures detailing the appointment, substitution or removal of individuals responsible for the control framework |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 4.2.5 | Policies and procedures detailing the appointment, substitution or removal of individuals responsible for the accountability framework |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 4.3 | Policies and procedures in relation to the determination and publication of a benchmark on a temporary basis. This should include business continuity and disaster recovery plans. |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 4.4 | Policies and procedures detailing the internal reporting of infringements |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 5.3 | Code of Conduct |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 5.6 | Schedule of Benchmarks |  | Attached |
|  |  |  |  |
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| 5.7 | Compliance Statement - Annex I |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 5.7 | Compliance Statement - Annex II |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 6.1.1 | Information detailing the type of input data used |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 6.1.2 | Information detailing the criteria and the selection process of the contributors for determining who may contribute input data |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 6.1.3 | Policies and procedures detailing how the applicant will ensure input data is sufficient etc. |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 6.1.4 | Policies and procedures detailing the evaluation of the contributor’s data |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 6.3.1 | Policies and procedures detailing the measures taken to validate and review the methodology |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 6.3.2 | Policies and procedures detailing the consultation process on any material change in the methodology |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 7.3 | Policies and procedures detailing the oversight of the outsourced activities |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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|  |  |  |  |
| 8.3 | Evidence of paid up share capital and other types of capital  |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
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| 8.4 | Relevant capital agreements and contracts |  | Attached |
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|  |  |  | Not Applicable |
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| 8.8 | Surveillance procedures |  | Attached |
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|  |  |  | Not Applicable |
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| 8.10 | Organogram of the surveillance function |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
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| 8.13 | Financial Information for Critical Benchmark administrators only  |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 8.14.1 | Opening balance sheet- critical benchmark administrators |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 8.14.2 | Forecast closing balance sheet- critical benchmark administrators |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 8.14.3 | A monthly cash flow forecast- critical benchmark administrators |  | Attached |
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|  |  |  | Not Applicable |
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| 8.14.4 | A monthly profit and loss forecast- critical benchmark administrators |  | Attached |
|  |  |  |  |
|  |  |  | Not Applicable |
|  |  |  |  |
|  |  |  |  |
| 8.14.5 | Monthly calculation of financial resources / capital resources against its financial resources / capital- critical benchmark administrators |  | Attached |
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|  |  |  | Not Applicable |
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**Other Documents**

|  |  |
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| **1.3** | **Please list any other documents you have provided** |
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| **1.4** | **Please provide any comments on supporting documents if necessary** |
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**Other Information**

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| **1.5** | **If there is anything else you would like to tell us about this application please give details below** |
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