

ANNEX I

Application form for authorisation to provide data reporting services

Reference number: Date:

# FROM:

Name of the applicant:

Address:

Legal Entity Identifier (where applicable):

# Contact details of the designated contact person at the applicant

Full Name:

Telephone:

Email:

# TO:

The Financial Conduct Authority

Address:

# Contact details of the designated contact point at the FCA

Address: Telephone: Email:

Dear [insert appropriate name]

In accordance with MAR 9.2.1D, please find attached the authorisation application.

# Person at the applicant in charge of preparing the application

Full Name:

Status/position:

Telephone:

E-mail:

Date:

Signature:

**Nature of the application** (tick the relevant box(es): Authorisation – Approved Publication Arrangement (APA) Authorisation – Consolidated Tape Provider (CTP) Authorisation – Approved Reporting Mechanism (ARM)

# Content

Please provide the information requested below. Please set out that information under the appropriate section or make reference to the relevant annexes containing the information.

Information on the organisation of the applicant, including the following:

* information on the organisation, including an organisation chart and a description of the human, technical and legal resources allocated to the applicant’s business activities;
* information on the compliance policies and procedures of the applicant, including:

	+ a copy or explanation of the relevant policies or procedures;
	+ the name of the person or persons responsible for the maintenance of those policies;
	+ the arrangements to monitor and enforce the compliance policies and procedures;
	+ the measures to be undertaken in the event of a breach which may result in a failure to meet the conditions for initial authorisation;
	+ a description of the procedure for reporting to the FCA any breach which may result in a failure to meet the conditions for initial authorisation; and
	+ such other information as the FCA may request; and
* a list of all outsourced functions and resources allocated to the control of the outsourced functions.

If you offer services other than data reporting services, please describe those services.

Information on corporate governance policies and the procedures which govern the applicant’s management body, senior management and, where established, committees, including the following:

* a description of the processes for selection, appointment, performance evaluation and removal of senior management and members of the management body;
* a description of the reporting lines and the frequency of reporting to the senior management and the management body; and
* a description of the policies and procedures on access to documents by members of the management body.

Information on the members of the management body as set out in MAR Annex 2D.

Information on the arrangements designed to prevent conflicts of interest as set out in MAR 9.2B.2R. In addition, for an application for authorisation as a CTP, information on conflicts of interest obligations for CTPs as set out in MAR 9.2B.27R.

Information on organisational requirements regarding outsourcing as set out in MAR 9.2B.3R. In addition, for an application for authorisation as a CTP, information on outsourcing obligations as set out in MAR 9.2B.29R.

Information on business continuity and back-up facilities as set out in MAR 9.2B.4R.

Information on testing and capacity as set out in MAR 9.2B.5R.

Information on security as set out in MAR 9.2B.6R.

Information on management of incomplete or potentially erroneous information by APAs as set out in MAR 9.2B.15R.

Information on management of incomplete or potentially erroneous information by ARMs as set out in MAR 9.2B.10R.

Information on connectivity of ARMs as set out in MAR 9.2B.11R.

Information on other services provided by CTPs as set out in MAR 9.2B.14R.

Information on publication arrangements.

Information on machine readability, as set out for APAs in MAR 9.2B.17R and for CTPs in MAR 9.2B.35R.

Information on details to be published by APAs as set out in MAR 9.2B.19R.

Information on the scope of the consolidated tape for bonds and publication of information as set out in MAR 9.2B.34R.

Information on certification requirements for APAs as set out in MAR 9.2B.18R.

Information on non-discrimination obligations, as set out for APAs in MAR 9.2B.20R, for CTPs in MAR 9.2B.30R and for the CTP for bonds in MAR 9.2B.36R.

**Additional information to be provided by consolidated tape providers**

Information on operational resilience as set out in SYSC 15A, including the CTP’s self-assessment of its compliance with the requirements in that chapter (SYSC 15A.6.1R).

Information on financial resources requirements for CTPs as set out in MAR 9.2C.

Information on the arrangements for governance for CTPs as set out in MAR 9.2B.38R.

Information on the arrangements for the investigation and resolution of complaints as set out in MAR 9.2D.1R