

Chapter 1

Commission Delegated Regulation (EU) 2019/885

Article 1 Identification of the third party

(1) An application for authorisation as referred to in Article 28(4) of Regulation (EU) 2017/2402 shall contain the following information, to the extent relevant:

- (a) the corporate name of the third party and its legal form;
- (b) the third party's Legal Entity Identifier (LEI) or, where not available, another identifier required by UK law;
- (c) the third party's legal address as well as the addresses of any of its offices whether within the UK or in a third country;
- (d) the Uniform Resource Locator (URL) of the third party's website;
- (e) an excerpt from a relevant commercial or court register, or another form of certified evidence, valid at the date of application, confirming the place of incorporation and the scope of business activity of the third party;
- (f) the articles of incorporation of the third party, or other statutory documentation, stating that the third party is to assess the compliance of securitisations against the criteria provided for in Articles 19 to 22 or Articles 23 to 26 of Regulation (EU) 2017/2402 ("STS compliance");
- (g) the most recent annual financial statements of the third party, including individual and consolidated financial statements, where available, and where the financial statements of the third party are subject to a statutory audit as required by UK law, the audit report on these financial statements;
- (h) the name, title, address, email address and the telephone number(s) of the contact person for the purposes of the application;
- (i) [deleted]

(j) the list of types of securitisation for which the third party intends to provide STS compliance services, distinguishing between non ABCP securitisations and ABCP securitisations/programmes;

(k) a description of any services, other than providing STS compliance services, that the third party provides or intends to provide;

(l) a list of parties to whom the third party provides (or intends to provide) advisory, audit or equivalent services.

(2) An application for authorisation shall include the following documentation as attachments:

(a) a list containing the name and business address of each person or entity that holds 10 % or more of the third party's capital or 10 % or more of its voting rights, or the holding of which makes it possible to exercise a significant influence over the third party, together with:

(i) the percentage of the capital and voting rights held, and, where applicable, a description of the arrangements enabling the person or entity to exercise a significant influence over the third party's management;

(ii) the nature of the business activities of the persons and entities referred to in point (a);

(b) a list containing the name and business address of any entity in which a person or entity referred to in point (a) holds 20 % or more of the capital or voting rights and a description of that entity's activities.

(c) a completed copy of the table set out in Annex 1.

(3) Where the third party has a parent undertaking, the application referred to in paragraph 1 shall state whether the immediate parent undertaking or ultimate parent undertaking is authorised, registered or subject to supervision, and where this is the case, state any associated reference number and the name of the responsible supervisory authority.

(4) Where the third party has subsidiaries or branches, the application for authorisation shall identify the names and business addresses of those subsidiaries or branches and shall describe the areas of business activities of each subsidiary or branch.

(5) An application for authorisation shall include a chart showing the ownership links between the third party, its parent undertaking and ultimate parent undertaking, its subsidiaries and affiliates, and any other persons and entities associated with or connected with a network as defined in point 7 of Article 2 of Directive 2006/43/EC as that definition had effect immediately before IP completion day except that the reference in that definition to "a statutory auditor or an audit firm" shall be read as a reference to any person or any other entity, regardless of its legal form, whether established in the UK or in a third country, that is empowered by applicable law to carry out statutory audits of annual financial statements or consolidated financial statements in so far as required under applicable law. The

chart shall identify the undertakings by their full name, the LEI or, where not available, another identifier required in accordance with UK law, legal form and business address.