

## ANNEX I

**Forms and templates for the CSD application for authorisation**

(Article 17(10) of Regulation (EU) No 909/2014)

Table 1

**General information**

Type of information	Format
Date of application	ISO 8601 date in the format YYYY-MM-DD
Corporate name of the applicant CSD	Free text
Identification of the applicant CSD	ISO 17442 Legal Entity Identifier (LEI) 20 alphanumeric character code
Registered address of the applicant CSD	Free text
Securities settlement system(s) the applicant CSD operates or intends to operate	Free text
Contact details of the person responsible for the application (name, function, phone number, email address)	Free text
Contact details of the person(s) in charge of the applicant CSD's internal control and compliance function (name, function, phone number, email address)	Free text
List of all documents provided by the applicant CSD with unique reference numbers	Free text

Table 2

**Document References**

The scope of information to be submitted in accordance with the specific requirement of the delegated act with regard to regulatory technical standards specifying the details of the application for authorisation of CSDs adopted pursuant to Article 17(9) of Regulation (EU) No 909/2014	Unique reference number of the document	Title of the document	Chapter or section or page of the document where the information is provided or reason why the information is not provided
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**A. General information on the applicant CSD (Articles 4-7 of Delegated Regulation (EU) 2017/392)****Identification and legal status of the CSD (Article 4 of Delegated Regulation (EU) 2017/392)**

An application for authorisation submitted according to Article 17 of Regulation (EU) No 909/2014 shall clearly identify the entity applying the activities and services that it intends to carry out

The corporate name of the applicant CSD, its LEI and legal address in the United Kingdom			
The memorandum and articles of association and other constitutional and statutory documentation			
An excerpt from the relevant commercial or court register, or other forms of certified evidence of the legal address and business activity of the applicant CSD that shall be valid at the date of the application			

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The identification of the securities settlement systems that the applicant CSD operates or intends to operate			
A copy of the decision of the management body regarding the application and the minutes of the meeting in which the management body approved the application file and its submission			
The contact details of the person responsible for the application			
A chart showing the ownership links between the parent undertaking, subsidiaries and any other associated entities or branches; the entities shown in the chart shall be identified by their full company name, legal status, legal address, and tax numbers or company registration numbers			
A description of business activities of the applicant CSD's subsidiaries and other legal persons in which the applicant CSD holds a participation, including information on the level of participation			
<p>A list containing:</p> <ul style="list-style-type: none"> <li>(i) the name of each person or entity who, directly or indirectly, holds 5 % or more of the applicant CSD's capital or voting rights;</li> <li>(ii) the name of each person or entity that could exercise a significant influence over the applicant CSD's management due to its holding in the applicant CSD's capital</li> </ul>			
<p>A list containing:</p> <ul style="list-style-type: none"> <li>(i) the name of each entity in which the applicant CSD holds 5 % or more of the entity's capital and voting rights;</li> <li>(ii) the name of each entity over whose management the applicant CSD exercises a significant influence, given the applicant CSD's holding of the entity's capital</li> </ul>			
A list of core services listed in Section A of the Annex to Regulation (EU) No 909/2014 that the applicant CSD is providing or intends to provide			
A list of ancillary services explicitly listed in Section B of the Annex to Regulation (EU) No 909/2014 that the applicant CSD is providing or intends to provide			
A list of any other ancillary services permitted under, but not explicitly listed in Section B of the Annex to Regulation (EU) No 909/2014, that the applicant CSD is providing or intends to provide			

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A list of investment services and activities subject to the UK law on markets in financial instruments as defined in Article 2(1)(54) of Regulation (EU) No 909/2014 which are not explicitly listed in Section B of the Annex to Regulation (EU) No 909/2014 that the applicant CSD is providing or intends to provide			
A list of services the applicant CSD outsources or intends to outsource to a third party in accordance with Article 30 of Regulation (EU) No 909/2014			
The currency or currencies that the applicant CSD processes, or intends to process in connection with services the applicant CSD provides, irrespective of whether cash is settled on a central bank account, a CSD account, or an account at a designated credit institution;			
Information on any pending and final judicial or civil, administrative and arbitration or any other legal proceedings to which the applicant CSD is a party, and which may cause it financial or other costs.			
<b>Policies and procedures for regulatory compliance (Article 5 of Delegated Regulation (EU) 2017/392)</b>			
The job titles of the persons responsible for the approval and maintenance of the policies and procedures			

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A description of the measures implementing and monitoring the compliance with, the policies and procedures			
A description of the procedures put in place by the applicant CSD in compliance with any mechanism established in accordance with Article 65 of Regulation (EU) No 909/2014			

#### **CSD Services and activities (Article 6 of Delegated Regulation (EU) 2017/392)**

Detailed descriptions of the services and activities, and of procedures to be applied in the provision of the services and activities by the applicant CSD:

Core services specified under Section A of the Annex to Regulation (EU) No 909/2014			
Ancillary services explicitly listed in section B of the Annex to Regulation (EU) No 909/2014			
Any other ancillary services permitted under, but not explicitly listed in Section B of the Annex to Regulation (EU) No 909/2014			
Investment services and activities subject to the UK law on markets in financial instruments as defined in Article 2(1)(54) of Regulation (EU) No 909/2014 referred to in the point above			

#### **Information for groups (Article 7 of Delegated Regulation (EU) 2017/392)**

Policies and procedures referred to in Article 26(7) of Regulation (EU) No 909/2014			
Information on the composition of the senior management, management body, and shareholders structure of the parent undertaking or other group undertakings			
Services, as well as key individuals other than senior management holding functions that the applicant CSD shares with other undertakings in by the group			

Where the CSD has a parent undertaking, information shall be provided as follows:

Identification of the legal address of the parent undertaking			
An indication of whether the parent undertaking is an entity that is authorised or registered and subject to supervision under the law of United Kingdom (or any part of it) or the law of a third country			
Where relevant, any relevant registration number and the name of the authority or authorities competent for the supervision of the parent undertaking			

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Where the applicant CSD has an agreement with an undertaking within the group, which provides services related to services provided by a CSD, a description and a copy of such agreement			

#### B. Financial resources for the provision of services by the applicant CSD (Article 8 of Delegated Regulation (EU) 2017/392)

##### Financial reports, business plan and recovery plan (Article 8 of Delegated Regulation (EU) 2017/392)

Financial reports including a complete set of financial statements for the preceding three years, and the statutory audit report on the annual and consolidated financial statements within the meaning of the law of the United Kingdom (or any part of it) which immediately before exit day implemented Directive 2006/43/EC of the European Parliament and of the Council (?), and its implementing measures, as that law has effect on exit day , for the preceding three years			
The name and the national registration number of the external auditor			
A business plan, including a financial plan and an estimated budget, that foresees various business scenarios for the CSD services, over a reference period of at least three years			
Any plan for the establishment of subsidiaries and branches and their location			
A description of the business activities that the applicant CSD plans to carry out, including the activities of any subsidiaries or branches of the applicant CSD			

##### Where historical financial information referred to above is not available an application for authorisation shall contain the following information about the applicant CSD:

Evidence that demonstrates sufficient financial resources during six months after the granting of an authorisation			
An interim financial report where the financial statements are not yet available for the requested period of time			
A statement concerning the financial situation of the applicant CSD, such as a balance sheet, income statement, changes in equity and of cash flows and a summary of accounting policies and other relevant explanatory notes			
Where applicable, audited annual financial statements of any parent undertaking for the three financial years preceding the date of the application			
A description of an adequate recovery plan including:			
A summary that provides an overview of the plan and its implementation			

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An identification of the critical operations of the applicant CSD, stress scenarios and events triggering recovery, and a substantive description of recovery tools to be used by the applicant CSD			
Information about the assessment of any impacts of the recovery plan on various stakeholders that are likely to be affected by its implementation			
An assessment by the applicant CSD of the legal enforceability of the recovery plan that takes account of any legal constraints imposed by the law of the United Kingdom (or any part of it) or third country legislation			

### C. Organisational requirements (Articles 9-17 of Delegated Regulation (EU) 2017/392)

#### Organisational chart (Article 9 of Delegated Regulation (EU) 2017/392)

Identity and tasks of the persons responsible for the following positions: (i) senior management; (ii) managers in charge of the operational roles; (iii) managers in charge of the activities of any branches of the applicant CSD; (iv) other significant roles in the operations of the applicant CSD.			
The number of staff members in each division and operational unit			

#### Staffing policies and procedures (Article 10 of Delegated Regulation (EU) 2017/392)

A description of the remuneration policy, which includes information about the fixed and variable elements of the remuneration of the senior management, the members of the management body and the staff employed in the risk management and compliance and internal control, technology and internal audit functions of the applicant CSD			
The measures put in place by the applicant CSD to mitigate the risk of over-reliance on the responsibilities entrusted to any individual person			

#### Risk monitoring tools and governance arrangements (Article 11 of Delegated Regulation (EU) 2017/392)

A description of the components of the governance arrangements of the applicant CSD			
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The policies, procedures and systems that identify, measure, monitor, manage and report the risks that the applicant CSD may be exposed to and the risks that the applicant CSD poses to any other entities;			
A description of the composition, role and responsibilities of the members of the management body and senior management and any committees established in accordance with Delegated Regulation (EU) 2017/392			
A description of the processes concerning the selection, appointment, performance evaluation and removal of senior management and members of the management body			
A description of the procedure used by the applicant CSD to make its governance arrangements and the rules governing its activity available to the public			

**Where the applicant CSD adheres to a recognised corporate governance code of conduct:**

The identification of the code of conduct (a copy of the code)			
An explanation for any situations where the applicant CSD deviates from the code			

**Compliance, internal control and internal audit functions (Article 12 of Delegated Regulation (EU) 2017/392)**

A description of the procedures for the internal reporting of infringements referred to in Article 26(5) of Regulation (EU) No 909/2014			
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**Information regarding its internal audit policies and procedures including the following:**

A description of the monitoring and evaluation tools for the adequacy and effectiveness of the applicant CSD's internal control systems			
A description of the control and safeguard tools for the applicant CSD's information processing systems			
An explanation concerning the development and application of its internal audit methodology			
A work plan for three years following the date of application			
A description of the roles and qualifications of each individual who is responsible for internal audit			

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**An application for authorisation shall contain the following information concerning the compliance and internal control function of the applicant CSD:**

A description of the roles and qualifications of the individuals who are responsible for the compliance and internal control function and of any other staff involved in the assessments of compliance, including a description of the means to ensure the independence of the compliance and internal control function from the rest of the business units			
The policies and procedures of the compliance and internal control function including a description of the compliance role of the management body and senior management			
Where available, the most recent internal report prepared by the persons responsible for the compliance and internal control function or by any other staff involved in the assessments of compliance within the applicant CSD			

**Senior management, management body and shareholders (Article 13 of Delegated Regulation (EU) 2017/392)**

For each member of the senior management and member of the management body, the following information:

A copy of a curriculum vitae which sets out the experience and knowledge of each member			
Details regarding any criminal and administrative sanctions imposed on a member in connection with the provision of financial or data services or in relation to acts of fraud or misappropriation of funds in the form of an appropriate official certificate where available			
A self-declaration of good repute in relation to the provision of a financial or data service, including all the statements indicated in Article 13(1)(c) of Delegated Regulation (EU) 2017/392			

**Information regarding the management body of the applicant CSD**

An evidence of compliance with Article 27(2) of Regulation (EU) No 909/2014			
A description of the roles and responsibilities of the management body			

**Information regarding the ownership structure and shareholders of the applicant CSD**

A description of the ownership structure of the applicant CSD, including a description of the identity and size of interests of any entities in a position to exercise control over the operation of the applicant CSD			
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A list of the shareholders and persons who are in a position to exercise, directly or indirectly, control over the management of the applicant CSD			

#### Management of conflicts of interest (Article 14 of Delegated Regulation (EU) 2017/392)

Policies and procedures put in place to identify and manage potential conflicts of interest by the applicant CSD:

A description of the policies and procedures concerning the identification, management and disclosure to the competent authority of potential conflicts of interest and of the process used to ensure that the staff of the applicant CSD is informed of such policies and procedures			
A description of the controls and any other measures put in place to ensure that the requirements referred to in point (a) of Article 14(1) of Delegated Regulation (EU) 2017/392 on the management of conflicts of interest are met			
<p>A description of:</p> <ul style="list-style-type: none"> <li>(i) the roles and responsibilities of key personnel, especially where they also have responsibilities in other entities;</li> <li>(ii) arrangements ensuring that individuals who have a permanent conflict of interest are excluded from the decision making process and from the receipt of any relevant information concerning the matters affected by the permanent conflict of interest;</li> <li>(iii) an up-to-date register of existing conflicts of interest at the time of the application and a description of how such conflicts of interest are managed.</li> </ul>			
<p>Where the applicant CSD is part of a group, the register referred to in point (c) (iii) of Article 14(1) of Delegated Regulation (EU) 2017/392 shall include a description of:</p> <ul style="list-style-type: none"> <li>(a) the conflicts of interest arising from other undertakings within the group in relation to any service provided by the applicant CSD; and</li> <li>(b) the arrangements put in place to manage those conflicts of interest.</li> </ul>			

#### Confidentiality (Article 15 of Delegated Regulation (EU) 2017/392)

Policies and procedures preventing the unauthorised use or disclosure of confidential information as defined in Article 15 of Delegated Regulation (EU) 2017/392			
Information concerning the access of staff to information held by the applicant CSD:			
The internal procedures concerning permissions of access of staff to information that ensure secured access to data			

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A description of any restrictions on the use of data for reasons of confidentiality			

#### User committee (Article 16 of Delegated Regulation (EU) 2017/392)

Documents or information on each user committee:

The mandate of the user committee			
The governance arrangements of the user committee			
The operating procedures of the user committee			
The admission criteria and the election mechanism for the members of the user committee			
A list of the proposed members of the user committee and the indication of interests that they represent			

#### Record keeping (Article 17 of Delegated Regulation (EU) 2017/392)

Description of record-keeping systems of the applicant CSD, policies and procedures			
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#### D. Conduct of business rules (Articles 18-22 of Delegated Regulation (EU) 2017/392)

##### Goals and objectives (Article 18 of Delegated Regulation (EU) 2017/392)

A description of goals and objectives of the applicant CSD.			
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##### Handling of complaints (Article 19 of Delegated Regulation (EU) 2017/392)

The procedures established by the applicant CSD for the handling of complaints			
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The scope of information to be submitted in accordance with the specific requirement of the delegated act with regard to regulatory technical standards specifying the details of the application for authorisation of CSDs adopted pursuant to Article 17(9) of Regulation (EU) No 909/2014	Unique reference number of the document	Title of the document	Chapter or section or page of the document where the information is provided or reason why the information is not provided
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### Requirements for participation (Article 20 of Delegated Regulation (EU) 2017/392)

Information concerning the participation in the securities settlement system(s) operated by the applicant CSD:

The criteria for participation that allow fair and open access for all legal persons that intend to become participants in the securities settlement system(s) operated by the applicant CSD			
The procedures for the application of disciplinary measures against the existing participants that do not comply with the criteria for participation			

### Transparency (Article 21 of Delegated Regulation (EU) 2017/392)

Information on the applicant CSD's pricing policy, including in particular the prices and fees for each core service provided by the applicant CSD and any existing discounts and rebates, as well as the conditions for such reductions			
A description of methods used to disclose the relevant information to clients and prospective clients in accordance with Article 34(1) to (5) of Regulation (EU) No 909/2014			
Information allowing the competent authority to assess how the CSD intends to comply with the requirements to account separately for costs and revenues in accordance with Article 34(7) of Regulation (EU) No 909/2014			

### Communication procedures with participants and other market infrastructure (Article 22 of Delegated Regulation (EU) 2017/392)

Relevant information concerning the use by the applicant CSD of international open communication procedures and standards for messaging and reference data in its communication procedures with participants and other market infrastructures			
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### E. Requirements for services provided by CSDs (Articles 23-30 of Delegated Regulation (EU) 2017/392)

#### Book-entry form (Article 23 of Delegated Regulation (EU) 2017/392)

Information concerning the processes that ensure the compliance of the applicant CSD with Article 3 of Regulation (EU) No 909/2014			
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**Integrity of the issue (Article 25 of Delegated Regulation (EU) 2017/392)**

Information concerning the CSD's rules and procedures for ensuring the integrity of securities issues			
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**Protection of participants' and their clients' securities (Article 26 of Delegated Regulation (EU) 2017/392)**

Information concerning the measures put in place to ensure the protection of the applicant CSD's participants' and their clients' securities, including:

The rules and procedures to reduce and manage the risks associated with the safekeeping of securities			
Detailed description of the different levels of segregation offered by the applicant CSD, including a description of the costs associated with each level, the commercial terms on which they are offered, their main legal implications and the applicable insolvency law			
Rules and procedures for obtaining the consents referred to Article 38(7) of Regulation (EU) No 909/2014			

**Settlement finality (Article 27 of Delegated Regulation (EU) 2017/392)**

Information concerning the rules on settlement finality			
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**Cash settlement (Article 28 of Delegated Regulation (EU) 2017/392)**

The procedures for the settlement of the cash payments for each securities settlement system that the applicant CSD operates			
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Information on whether the settlement of the cash payments is provided in accordance with Article 40(1) of Regulation (EU) No 909/2014			
Where applicable, explanation of why settlement in accordance with Article 40(1) of Regulation (EU) No 909/2014 is not practical and available			
<b>Participant default rules and procedures (Article 29 of Delegated Regulation (EU) 2017/392)</b>			
The rules and procedures put in place to manage the default of a participant			
<b>Transfer of participants' and clients' assets in case of a withdrawal of authorisation (Article 30 of Delegated Regulation (EU) 2017/392)</b>			
Information concerning the procedures put in place by the applicant CSD that shall ensure the timely and orderly settlement and transfer of the assets of clients and participants to another CSD in the event of a withdrawal of its authorisation			
<b>F. Prudential requirements (Articles 31-35 of Delegated Regulation (EU) 2017/392)</b>			
<b>Legal risks (Article 31 of Delegated Regulation (EU) 2017/392)</b>			
Information enabling the competent authority to assess that the rules, procedures, and contracts of the applicant CSD are clear, understandable and enforceable in all relevant jurisdictions in accordance with Article 43(1) and (2) of Regulation (EU) No 909/2014			
Where the applicant CSD intends to conduct business in different jurisdictions, information concerning the measures put in place to identify and mitigate the risks arising from potential conflicts of laws across jurisdictions in accordance with Article 43(3) of Regulation (EU) No 909/2014, including any legal assessment on which those measures are based.			
<b>General business risks (Article 32 of Delegated Regulation (EU) 2017/392)</b>			
A description of the risk management and control systems as well as the IT tools put in place by the CSD to manage business risks			
Where applicable, the risk rating obtained from a third party, including any relevant information supporting that risk rating			
<b>Operational risks (Article 33 of Delegated Regulation (EU) 2017/392)</b>			
Evidence demonstrating that the applicant CSD complies with the requirement for the management of operational risks in accordance with Article 45 of Regulation (EU) No 909/2014 and Chapter X of Delegated Regulation (EU) 2017/392			

The scope of information to be submitted in accordance with the specific requirement of the delegated act with regard to regulatory technical standards specifying the details of the application for authorisation of CSDs adopted pursuant to Article 17(9) of Regulation (EU) No 909/2014	Unique reference number of the document	Title of the document	Chapter or section or page of the document where the information is provided or reason why the information is not provided
<p>Information concerning the outsourcing by the applicant CSD of services or activities to third parties in accordance with Article 30 of Regulation (EU) No 909/2014, including:</p> <p>(a) Copies of the contracts governing the outsourcing arrangements of the applicant CSD</p> <p>(b) The methods used to monitor the service level of the outsourced services and activities</p>			

#### Investment policy (Article 34 of Delegated Regulation (EU) 2017/392)

<p>Evidence demonstrating that:</p> <p>(a) the applicant CSD holds its financial assets in accordance with Article 46(1), (2) and (5) of Regulation (EU) No 909/2014 and Chapter X of Delegated Regulation (EU) 2017/392,</p> <p>(b) the investments of the applicant CSD are compliant with Article 46(3) of Regulation (EU) No 909/2014 and in Chapter X of Delegated Regulation (EU) 2017/392</p>			
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#### Capital requirements (Article 35 of Delegated Regulation (EU) 2017/392)

<p>Information demonstrating that the capital of the applicant CSD, including retained earnings and reserves of the applicant CSD, meets the requirements of Article 47 of Regulation (EU) No 909/2014 and of Delegated Regulation (EU) 2017/392</p>			
<p>The plan referred to in Article 47(2) of Regulation (EU) No 909/2014 and any updates to that plan, and evidence of its approval by the management body or an appropriate committee of the management body of the applicant CSD</p>			

#### CSD Links (Article 36 of Delegated Regulation (EU) 2017/392)

<p>A description of the CSD links accompanied by assessments of link arrangements by the applicant CSD</p>			
<p>The expected or actual settlement volumes and values of the settlement performed within the CSD links</p>			
<p>The procedures concerning the identification, assessment, monitoring and management of all potential sources of risk for the applicant CSD and for its participants arising from the link arrangement and the appropriate measures put in place to mitigate them</p>			
<p>An assessment of the applicability of insolvency laws applicable to the operation of a CSD link and their implications for the applicant CSD</p>			

The scope of information to be submitted in accordance with the specific requirement of the delegated act with regard to regulatory technical standards specifying the details of the application for authorisation of CSDs adopted pursuant to Article 17(9) of Regulation (EU) No 909/2014	Unique reference number of the document	Title of the document	Chapter or section or page of the document where the information is provided or reason why the information is not provided
Other relevant information necessary for assessing the compliance of CSD links with the requirements provided in Article 48 of Regulation (EU) No 909/2014 and Chapter XII of Delegated Regulation (EU) 2017/392			

#### G. Access to CSDs (Article 37 of Delegated Regulation (EU) 2017/392)

##### Access rules (Article 37 of Delegated Regulation (EU) 2017/392)

A description of procedures for dealing with requests for access from:

Legal persons that wish to become participants in accordance with Article 33 of Regulation (EU) No 909/2014 and Chapter XIII of Delegated Regulation (EU) 2017/392			
Issuers in accordance with Article 49 of Regulation (EU) No 909/2014 and Chapter XIII of Delegated Regulation (EU) 2017/392			
Other CSDs in accordance with Article 52 of Regulation (EU) No 909/2014 and Chapter XIII of Delegated Regulation (EU) 2017/392			
Other market infrastructures in accordance with Article 53 of Regulation (EU) No 909/2014 and Chapter XIII of Delegated Regulation (EU) 2017/392			

#### H. Additional information (Article 38 of Delegated Regulation (EU) 2017/392)

##### Additional information Article 38 of Delegated Regulation (EU) 2017/392

Any additional information necessary for assessing whether, at the time of the authorisation, the applicant CSD complies with the requirements of Regulation (EU) No 909/2014 and the relevant delegated and implementing acts adopted under Regulation (EU) No 909/2014			
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(<sup>1</sup>) Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

(<sup>2</sup>) Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC (OJ L 157, 9.6.2006, p. 87).