



Banc Ceannais na hÉireann  
Central Bank of Ireland

Eurosystem

# Endorsement Application Form – Third Country Benchmark

Application for endorsement under Regulation (EU) 2016/1011 of the European Parliament and of the Council

## Who can use this form?

A benchmark administrator located in Ireland and authorised or registered in accordance with Article 34 of (EU) Regulation 2016/1011 (the '**Benchmark Regulation**'), or any other supervised entity located in the European Union with an Irish presence and regulated by the Central Bank of Ireland ('Central Bank') with a clear and well-defined role with the control and accountability framework of a third country administrator, which is able to monitor effectively the provision of a benchmark, may apply to the Central Bank as the relevant competent authority to endorse a benchmark or a family of benchmarks provided in a third country for their use in the European Union.

## NOTES ON COMPLETION

1. All applications must be **typed**.
2. All questions must be addressed before the application can be considered. If a question does not apply, please write "N/A" or "None" as appropriate. **Do not leave any answer boxes blank. Incomplete applications will be returned.**
3. Where applicants are required to "confirm", a tick (✓) placed in the relevant box will be taken as confirmation.
4. Where it is highlighted that information "must" be provided or an action "must" be taken, a tick (✓) placed in the relevant box will be taken as confirmation that the information has been provided or that action has been taken.
5. If insufficient space has been provided for a reply, please provide that information on a separate sheet/document and refer to it in the space provided for the answer. Please ensure that any separate sheets/documents are clearly marked with the name of the Applicant organisation and reference the appropriate question.
6. Where the Applicant is requested to provide a reference to a separate sheet/document, please ensure the document name, page number and paragraph that provides for the requested information is completed in the Application Form.
7. Further information or clarification may be requested (having regard to the replies furnished) for the purpose of considering and evaluating an application.
8. The Applicant must submit its application pack to the Central Bank via [investmentfirmauthorisations@centralbank.ie](mailto:investmentfirmauthorisations@centralbank.ie)
9. Please follow the instructions below when completing this application form and ensure you have:
  - Completed the application form for endorsement
  - Attached all supporting documents as requested
  - Signed the Declaration

## Details about this application

Use this section to provide the information required under Article 33 of the Benchmark Regulations.

Please refer to the Benchmark Regulations and ensure all information required is provided.

### 1. Details of the endorsing administrator or supervised entity

Applicant Ref  
No.<sup>1</sup>

CBI  
Only

**1.1** Registered Office or other official address of the endorsing Administrator or supervised entity.

Business  
address

Postcode

Phone number  
(including STD code)

Email address

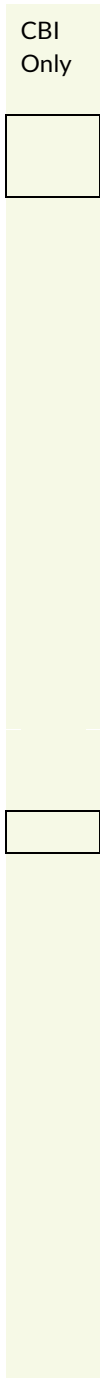
**1.2** Head Office of the endorsing administrator or supervised entity.

Business  
address

Postcode

Phone number  
(including STD code)

Email address



Applicant Ref  
No.<sup>1</sup>

CBI  
Only

**1.3** Name of authority by which the endorsing administrator or supervised entity is regulated.

**1.4** Does the Applicant have the permission to administer a benchmark in the Union?

Yes

No

### Details of the third country benchmark administrator

**1.5** Name of the third country benchmark administrator.

**1.6** Business address of third country benchmark administrator.

Business address

Postcode

Phone number (including STD code)

Email address

**1.6.1** Registered Address of third country benchmark administrator.

Business address		Applicant Ref No. <sup>1</sup>	CBI Only
Postcode			
Phone number (including STD code)			
Email address			

### Details of the third country benchmark administrator

**1.7** Please attach to your application the Schedule of benchmarks, a list which specifies the third country Benchmarks the Applicant wishes to endorse including their International Securities Identification Numbers (ISIN's) and the categories of benchmarks, as relevant.

Attached

**1.8** Please describe the Applicant's role within the control or accountability framework of the third country administrator, which is able to monitor effectively the provision of a benchmark.

**1.9** Please confirm the third country benchmark administrator fulfils requirements that are at least as stringent as the Benchmark Regulations.

Confirmed

Applicant Ref  
No.<sup>1</sup>

CBI  
Only

**1.10** Please explain how the Applicant is able to demonstrate on an on-going basis that the provision of the benchmark or family of benchmarks to be endorsed fulfils requirements which are at least as stringent as the requirements of the Benchmark Regulation.

**1.11** Please explain how the Applicant has the necessary expertise to monitor effectively the activity of the provision of the benchmark in a third country and how they will manage the associated risks on an on-going basis.

**1.12** Please provide the objective reason to provide the benchmark or family of benchmarks in a third country for their use in the Union. Please refer to ESMA Technical Advice under the Benchmark Regulation, ESMA/2016/1560<sup>1</sup> when providing the answer.

<sup>1</sup> Section 5, Technical Advice on Article 33 (Endorsement)

## DECLARATION

[Insert a ( ✓ ) beside (i) as appropriate]

[Name of applicant] (the "Applicant ") applies for:

(i) endorsement under Article 33 of the Benchmark Regulation

on the basis of information supplied with this application and any additional information supplied to the Central Bank in the course of the application.

The Applicant hereby confirms that it is responsible for this application for endorsement including compliance with all requirements specified in the Benchmark Regulation.

The Applicant warrants that it has truthfully and fully answered the relevant questions in this form and disclosed any other information which might reasonably be considered relevant for the purpose of the application.

The Applicant warrants that it will promptly notify the Central Bank of any changes in the information it has provided and will supply any other relevant information which may come to light in the period during which the application is being considered and, if the application is accepted, thereafter.

Date:

Signed:  Position:

Signed:  Position:

Signed:  Position:

For and on behalf of:

(Please print name of the Applicant Firm. At least two directors, including the managing director, must sign the declaration. Original signatures are required.)

**NOTE: Provisions in this document should not be deleted nor amended in any manner. It is an offence under the European Union (Indices used as Benchmarks in Financial Instruments and for Financial contracts or to Measure the Performance of Investment Funds) Regulations 2017, S.I. 644/2017 to knowingly or recklessly provide false or misleading information or make false or misleading statements in relation to an application for authorisation.**

The Central Bank may process personal data provided by you in order to fulfil its statutory functions or to facilitate its business operations. Any personal data will be processed in accordance with the requirements of data protection legislation. Any queries concerning the processing of personal data by the Central Bank may be directed to [dataprotection@centralbank.ie](mailto:dataprotection@centralbank.ie). A copy of the Central Bank's Data Protection Notice is available at [www.centralbank.ie/fns/privacy-statement](http://www.centralbank.ie/fns/privacy-statement).



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