



Banc Ceannais na hÉireann
Central Bank of Ireland

Eurosystem

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

1.1 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

1.2 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
- 2.1 Organisational structure chart Attached

- 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

- | | | | |
|-------|--|--------------------------|----------------|
| | | <input type="checkbox"/> | |
| 4.2.1 | Policies and procedures detailing information technology systems | <input type="checkbox"/> | Attached |
| 4.2.2 | Policies and procedures detailing the risk management process | <input type="checkbox"/> | Not Applicable |
| | | <input type="checkbox"/> | Attached |
| 4.2.3 | Policies and procedures detailing the constitution, role and functioning of the oversight function | <input type="checkbox"/> | Not Applicable |
| | | <input type="checkbox"/> | Attached |
| 4.2.4 | Policies and procedures detailing the appointment, substitution or removal of individuals responsible for the control framework | <input type="checkbox"/> | Attached |
| | | <input type="checkbox"/> | Not Applicable |
| 4.2.5 | Policies and procedures detailing the appointment, substitution or removal of individuals responsible for the accountability framework | <input type="checkbox"/> | Attached |
| | | <input type="checkbox"/> | 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. | <input type="checkbox"/> | Attached |
| | | <input type="checkbox"/> | Not Applicable |
| 4.4 | Policies and procedures detailing the internal reporting of infringements | <input type="checkbox"/> | Attached |
| | | <input type="checkbox"/> | Not Applicable |
| 5.3 | Code of Conduct | <input type="checkbox"/> | Attached |
| | | <input type="checkbox"/> | Not Applicable |

- | | | |
|-------|--|--|
| 5.6 | Schedule of Benchmarks | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 5.7 | Compliance Statement - Annex I | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 5.7 | Compliance Statement - Annex II | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.1.1 | Information detailing the type of input data used | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.1.2 | Information detailing the criteria and the selection process of the contributors for determining who may contribute input data | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.1.3 | Policies and procedures detailing how the applicant will ensure input data is sufficient etc. | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.1.4 | Policies and procedures detailing the evaluation of the contributor's data | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.3.1 | Policies and procedures detailing the measures taken to validate and review the methodology | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 6.3.2 | Policies and procedures detailing the consultation process on any material change in the methodology | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |

- | | | |
|--------|--|--|
| 7.3 | Policies and procedures detailing the oversight of the outsourced activities | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.3 | Evidence of paid up share capital and other types of capital | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.4 | Relevant capital agreements and contracts | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.8 | Surveillance procedures | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.10 | Organogram of the surveillance function | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.13 | Financial Information for Critical Benchmark administrators only | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.14.1 | Opening balance sheet- critical benchmark administrators | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.14.2 | Forecast closing balance sheet- critical benchmark administrators | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |
| 8.14.3 | A monthly cash flow forecast- critical benchmark administrators | <input type="checkbox"/> Attached
<input type="checkbox"/> Not Applicable |

- 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
 Not Applicable

Other Documents

1.3 Please list any other documents you have provided

1.4 Please provide any comments on supporting documents if necessary

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Other Information

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



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