**Application**

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|  **The requesting party applies for:** [ ]  Access of a participant [ ]  Granting membership [ ]  Access of the central depository through standard link  [ ]  Access of the central depository through customised link [ ]  Interoperable link via Target 2-Securities [ ]  Access of other market infrastructure: [ ]  trading venue [ ]  central counterparty [ ]  Access to specific type of services specified in part II of the Rules of Operation1. **General information**

Sender: (requesting party) Addressee: (receiving party) Date of application: Reference number assigned by the requesting party: 1. **Identification of the requesting party**

1. Corporate name of requesting party: 2. Country of origin: 3. Legal address (street, house number, postal code, city, country): 4. Name of the commercial register or other official registry and the file number: 5. Company ID: 6. BIC[[1]](#footnote-1): 7. LEI: 8. Number of DCA[[2]](#footnote-2) account for cash settlement of instructions and BIC11 of the payment bank to which DCA account has been opened: 9. MIC code for the trading venue: 10. Tax residence: 11. Tax ID: 12. VAT ID: 13. Postal address of the requesting party: 14. Name and contact details of the person responsible for the application:Name, surname: Function: Phone number: E-mail: 1. **Services that are subject of the application:**

Type of services for PARTICIPANT[[3]](#footnote-3): [ ]  Owner’s account services [ ]  Holder’s account services [ ]  Services of authorized participant for the holder’s account [ ]  Services of authorized participant for the owner’s account [ ]  Services of Directly Connected Party [ ]  Issuer’s servicesDescription of services[[4]](#footnote-4): Type of services for MEMBER: [ ]  Client’s account services [ ]  Services of authorised member to non-allocated accounts Description of services[[5]](#footnote-5): 1. **Identification of authorities**

Name and contact data of relevant authority of the requesting party:Name: Function: Phone number: E-mail: Name and contact details of the relevant authority referred to in article 12 (1), point a) of regulation (EU) No. 909/2014: Name: Function: Phone number: E-mail: 1. **Other relevant information and/or documents**

 [ ]  The requesting party is interested to provide for selected activities via intermediary Identification data of the intermediary: 1. Trade name of the intermediary: 2. Address of the seat (street, house number, postal code, city, country): 3. Name of the official commercial registry or other official registry and the file number: 4. Company ID: 5. BIC:   Identification of type of services, which shall be provided for via the intermediary:. **Declarations of the requesting party**[[6]](#footnote-6):  [ ]  The requesting party declares that data stated in the application and enclosures are complete, true and correct  [ ]  The requesting party declares that it is not a person or has no registered office in the territory of a state where international or European sanctions apply, and has no registered office in the territory of a country being listed in the list of high-risk or non-collaborating jurisdictions according to FATF (The Financial Action Task Force) [ ]  The requesting party declares that it shall keep, apply, and maintain adequate systems and procedures for information security, integrity, and information confidentiality while taking into account the nature of such information, and proclaims that it shall ensure protection of personal data in compliance with the relevant generally applicable regulations as well as data security of protected data pursuant to the Act 566/2001 Coll. on Securities and investment services as amended. [ ]  The requesting party declares that it has implemented programme focused on protection against money laundering and terrorist financing [ ]  The requesting party declares that it complies with requirements fulfilling of which has been required for granting the relevant authorisation(s) specified in article 6, section 6.4, letter a) to c) of part II of the Rules of Operation of CDCP, creating enclosure to this application. [ ]  The requesting party declares that neither remedial actions nor sanctions which could impact execution of services of participant/central depository/other market infrastructure in connection with granted access have been imposed on the applicant by the respective supervisory body or other relevant entity in the last three years before submitting the request,  [ ]  The requesting party declares that it has sufficient operational capacity in the extent adequate to the nature, scope and complexity for proper performance of activities and provision of services *(do not fill in if the requesting party shall nominate the authorised participant to pursue activities of participant and performance of services with granted access)*  [ ]  The requesting party declares that persons responsible for performance of the participant’s activities are qualified to perform participant’s activities based on their experience and/or attending the training. [ ]  The requesting party declares that it has efficient operational risk management system and that it will comply with requirements in the area of the risk management resulting from applicable regulations, the Rules of Operations of CDCP and relevant implementing regulations. [ ]  The requesting party declares that it has in place systematic identification, monitoring and adequate management of operational risks which it is exposed to due to utilisation of services provided to the applicant by the authorised participant. *(the requesting party shall fill out in case it appoints authorised participant to pursue participant activities and performance of services with granted access)* [ ]  The requesting party declares that the operational risks which it is exposed to due to utilisation of services provided to the applicant by the authorised participant do not exceed valid limits for risk exposition. *(the requesting party shall fill out in case it appoints authorised participant to pursue participant activities and for performance of services with granted access)* [ ]  The requesting party declares that it has implemented procedures for identification, assessment and resolving of conflict of interests which potentially would cause damage or improper preferential treatment of clients  [ ]  The requesting party declares that it has approved and applies business continuity policy and the title of the document is:  [ ]  The requesting party declares that it has in place sufficient arrangements on information security, primarily on application of best practice, processes and methods related to data protection against loss, unauthorised leak and unauthorised access *(do not fill out if authorised participant to pursue participant activities and performance of services with granted access shall be appointed by the requesting party)* [ ]  The requesting party declares that it has sufficient financial sources to perform participant activities (it complies with the capital adequacy requirements)Other statements or information from the requesting party: 1. **LIST OF ENCLOSED DOCUMENTS:**

 In  ............................................... ............................................... signature signatureName and surname: Name and surname: Function: Function:  |

1. BIC11 [↑](#footnote-ref-1)
2. Dedicated Cash Account [↑](#footnote-ref-2)
3. fill in also in case of application for access of the central depository [↑](#footnote-ref-3)
4. reference to relevant parts of the Rules of Operation [↑](#footnote-ref-4)
5. reference to relevant parts of the Rules of Operation [↑](#footnote-ref-5)
6. the requesting party shall mark declarations up if relevant, and if CDCP is requiring the declaration in connection with specific application [↑](#footnote-ref-6)