

ANNEX

Application Form for authorisation as a Crypto-Asset Service Provider

Regulation (EU) 2023/1114

Reference number:

Date:

FROM:

Name of the applicant:

Address:

(Contact details of the designated contact person):

Name:

Telephone:

Email:

TO:

Member State (if applicable):

Competent Authority:

Address:

(Contact details of the designated contact point):

Name:

Telephone:

Email:

Dear [*insert appropriate name*],

In accordance with Article 2 of the Commission Implementing Regulation (EU) XXXX/XXX, laying down implementing technical standards for the application of Regulation (EU) 2023/1114 of the European Parliament and of the Council with regard to standard forms, templates and procedures for the information to be included in the application for the authorisation of crypto-asset service providers, kindly find attached the application for authorisation.

We [applicant] declare that the submitted information is true, accurate, complete and up to date to the best of [applicant's] knowledge.

- Person in charge of preparing the application:

Name:

Status/position:

Telephone:

Email:

- Nature of the application (tick the relevant box)

- Authorisation

- Change to the authorisation already obtained

CONTENT

General information

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Please insert the information referred to under Article 1 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Programme of operations

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Please insert the information referred to under Article 2 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date] of the European Parliament and the Council of Date [include Title and number of the MiCA RTS on authorisation for CASPs]. Please set out that information here or make reference to the relevant annexes containing the information.

Prudential requirements

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Please insert the information referred to under Article 3 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date].

Please set out that information here or make reference to the relevant annexes containing the information.

Information about governance arrangements and internal control mechanisms

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Please insert the information referred to under Article 4 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Business continuity

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Please insert the information referred to under Article 5 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Detection and prevention of money laundering and terrorist financing

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Please insert the information referred to under Article 6 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information

Identity and proof of good repute, knowledge, skills, and experience and of sufficient time commitment of the members of the management body

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Please insert the information referred to under Article 7 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Information relating to shareholders or members with qualifying holdings

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Please insert the information referred to under Article 8 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

ICT systems and related security arrangements

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Please insert the information referred to under Article 9 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Segregation of clients' crypto-assets and funds

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Please insert the information referred to under Article 10 Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Complaints-handling

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Please insert the information referred to under Article 11 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Operating rules of the trading platform and market abuse detection

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Please insert the information referred to under Article 12 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Custody and administration policy

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Please insert the information referred to under Article 13 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Exchange of crypto-assets for funds or other crypto-assets

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Please insert the information referred to under Article 14 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Execution policy

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Please insert the information referred to under Article 15 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Provision of advice or portfolio management on crypto-assets

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Please insert the information referred to under Article 16 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Transfer services

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Please insert the information referred to under Article 17 of Commission Delegated Regulation (EU) XXXX/XXXX of the European Parliament and the Council of [date]. Please set out that information here or make reference to the relevant annexes containing the information.

Yours sincerely,

[signature]