

**Application for Authorisation - Checklist**

**Benchmark Administrator Application**

**Full legal entity name of applicant firm**

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This form includes a checklist of documents you need to send us with this application.

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|  | Documents for this application  You must confirm you have attached the forms necessary. You will also need documents to support this application and these must be sent with this application. |

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.

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| **Application documents** |  |
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| Application for Authorisation - Benchmark Administrator Application Form | Attached |
| This checklist | Completed |
| Detailed IT Controls Form (for Critical Benchmark Administrators only) | Attached  Not applicable |

Supporting documents you are sending with this application

You must tick below the documents you are sending with this application.

**1.2 List of supporting documents**

**Application for Authorisation – Benchmark Administrator Application Form** (we have provided question numbers the documents are requested in)

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| **Question** | **Supporting documents** |  |
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| 1.10 | Certificate of incorporation | Attached |
| 1.10 | Copy of Partnership agreement deeds | Attached  Not applicable |
| 1.10 | Copy of Limited Liability Partnership agreement deeds | Attached  Not applicable |
| 1.10 | Copy of deed of incorporation, articles of association or other constitutional documents | Attached  Not applicable |
| 1.11 | 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 |
| 2.10 | Form A - Application to perform controlled functions under the approved persons regime | Number enclosed   |  |  | | --- | --- | |  |  | |
| 2.12 | Form A - Application to perform controlled functions under the senior managers regime | Number enclosed   |  |  | | --- | --- | |  |  |   Not applicable |
| 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 | Attached  Not applicable |
| 3.3 | List of any material conflicts of interests | Attached  Not applicable |
| 4.2.1 | Policies and procedures detailing information technology systems | Attached  Not applicable |
| 4.2.2 | Policies and procedures detailing the risk management process | Attached  Not applicable |
| 4.2.3 | Policies and procedures detailing the constitution, role and functioning of the oversight function | Attached  Not applicable |
| 4.2.4 | Policies and procedures detailing the control framework | Attached  Not applicable |
| 4.2.5 | Policies and procedures detailing the accountability framework | Attached  Not applicable |
| 4.3 | Policies and procedures detailing the fall back systems | Attached  Not applicable |
| 4.4 | Policies and procedures detailing the internal reporting of infringements | Attached  Not applicable |
| 5.4 | Code of Conduct | Attached  Not applicable |
| 5.7-5.8 | Schedule of Benchmarks | Attached |
| 5.8 | Compliance Statement - Annex I | Attached  Not applicable |
| 5.8 | Compliance Statement - Annex II | Attached  Not applicable |
| 6.1.1 | Policies and procedures detailing the type of input data used | Attached  Not applicable |
| 6.1.2 | Policies and procedures detailing how the applicant will ensure input data is sufficient etc | Attached  Not applicable |
| 6.1.3 | Policies and procedures detailing the criteria for determining who may contribute input data | Attached  Not applicable |
| 6.1.4 | Policies and procedures detailing the evaluation of the contributor’s data | Attached  Not applicable |
| 6.3.1 | Policies and procedures detailing the measures taken to validate and review the methodology | Attached  Not applicable |
| 6.3.2 | Policies and procedures detailing the consultation process on any material change in the methodology | Attached  Not applicable |
| 7.4 | Policies and procedures detailing the oversight of the outsourced activities | Attached  Not applicable |
| 8.4 | Organogram of the surveillance function | Attached  Not applicable |
| 8.11 | Companies House form SH01 | Attached  Not applicable |
| 8.12 | Statement of personal assets and liabilities | Attached  Not applicable |
| 8.12 | Statement of business assets and liabilities | Attached  Not applicable |
| 8.13 | Statement of personal assets and liabilities | Attached  Not applicable |
| 8.13 | Statement of partnership business assets and liabilities | Attached  Not applicable |
| 8.15 | Members capital agreement | Attached  Not applicable |
| 8.19 | Opening balance sheet | Attached  Not applicable |
| 8.19 | Forecast closing balance sheet | Attached  Not applicable |
| 8.19 | A monthly cash flow forecast | Attached  Not applicable |
| 8.19 | A monthly profit and loss forecast | Attached  Not applicable |
| 8.19 | Monthly calculation of financial resources / capital resources against its financial resources / capital | Attached  Not applicable |
| 8.20 | End of year accounts and up-to-date management accounts | Attached  Not applicable |

Other documents

**1.3 Please list any other documents you have provided.**

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**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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