

Authorisation Form

First name and surnames/corporate name:	
Tax identification no. / passport no./residence card (natural persons)/ tax identification code (legal persons):	
Postal address	
Contact telephone	
E-mail
Represented by (*):	Tax identification no. /passport no./residence card/tax identification code:..... Postal address: Contact telephone: E-mail:

(*) The representative must have a sufficient power of attorney.

HE/THEY REQUEST(S), pursuant to the provisions of article 149.3. of the consolidated text of the Securities Market Act, approved by Royal Legislative Decree 4/2015, of 23 October, the authorisation of the CNMV for the creation of an investment firm which will have the following name:

Person designated for notification purposes

HE/THEY APPOINT(S) as the person to receive the notifications which the CNMV must make in relation to the application for authorisation to establish the investment firm [Broker-dealer (BD), Securities Broker (SB) and Portfolio Management Company (PMC)]:

- Applicants
- Other (*)

In this case, provide the following information:

First name and surnames/corporate name:.....

Tax identification no. /passport no./residence card/tax identification code:

Postal address:.....

.....

Contact telephone:

E-mail:

List of mandatory documents attached to this application

In accordance with the provisions of articles 149.3., 152 and 153.2 of the consolidated text of the Securities Market Act, approved by Royal Legislative Decree 4/2015, of 23 October, and articles 14 and 16 of Royal Decree 217/2008, of 15 February, on the legal rules governing investment firms and all other institutions that provide investment services, the following documents are ATTACHED to the application:

- Draft articles of association
- Certificate from the Spanish Commercial Registry of absence of the same name as that proposed
- Programme of operations
- Draft Internal Rules of Conduct
- Draft Manual on Prevention of Money Laundering and of the Financing of Terrorism

(*) You are hereby informed that a copy will be sent to the applicant of the requests for additional information which may be sent by the CNMV during the processing of the application to the person designated as recipient of communications.

- Undertaking to join FOGAIN (Investment Guarantee Fund)
- In the event of conversion of another entity into an investment firm, documentation regarding such entity
- Standard guide of the CNMV for the authorisation of BD/SB/PMC and its annexes
- Or, in the absence thereof, a Report drawn up by the applicants in which the following appears:
 - Description of organisation and resources
 - Information regarding services or functions to be delegated
 - Description of resources if it provides telematic services
 - Management Regulations of MTF, where relevant
 - Business plan and information regarding solvency
 - List of direct shareholders, together with additional documentation of those who, directly or indirectly, will have a qualifying holding
 - List of management body members and CEO of the institution, together with additional documentation relating to them
 - List of management body members and CEO of the parent institution, where relevant, together with additional documentation relating to them
 - Identification of those responsible for control functions, together with additional documentation relating to them

Signed:

In, on, 20