

HOW can I obtain my authorisation?

Type of information to be filled-in in the Authorisation Form

- General data (i.e., type of investment firm, contact person, identity of the person liable for purposes of the CNMV fee, etc.)
- Management body and Governance (i.e., list of members of the management body and CEO or similar officeholders and their suitability requirements)
- Shareholding and group structure
- Programme of operations, business plan and financial requirements
- Organisational structure (i.e., information regarding organisation and resources envisaged for the conduct of the institution's activity, with a description of its administrative and accounting organisation, adequate technical and human resources, and procedures for internal control, access and safeguarding of computer systems)
- Rules of Conduct and relations with clients