Chapter 1

Commission Delegated Regulation (EU) 2017/1943

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Article 1 General information

An applicant seeking authorisation as an investment firm in accordance to the United Kingdom's legislation corresponding to Title II of Directive 2014/65/EU shall submit to the competent authority an application that includes the following general information:

(a) its name (including its legal name and any other trading name to be used); legal structure (including information on whether it will be a legal person or, where allowed by national legislation, a natural person), address of the head office and, for existing companies, registered office; contact details; its national identification number, where available; as well as:

(i) for domestic branches: information on where the branches will operate;

(ii) for domestic tied agents: details on its intention to use tied agents;

(b) the list of investment services and activities, ancillary services and financial instruments to be provided, and whether clients' financial instruments and funds will be held (even on a temporary basis).

(c) copies of corporate documents and evidence of registration with the national register of companies, where applicable.