

Chapter 4

Commission Delegated Regulation (EU) 2020/1230



Article 10 Regulatory compliance

An application for registration as a securitisation repository shall contain the following regarding the applicant's policies and procedures for ensuring compliance with Regulation (EU) 2017/2402:

- (a) a description of the roles of the persons responsible for compliance and of any other staff involved in the compliance assessments, including a description of how the independence of the compliance function from the rest of the business is ensured;
- (b) the internal policies and procedures designed to ensure that the applicant, including its managers and employees, complies with Regulation (EU) 2017/2402, including a description of the role of the board and senior management;
- (c) where available, the most recent internal report on compliance with Regulation (EU) 2017/2402 prepared by the persons responsible for such compliance or by any other staff involved in such compliance assessments within the applicant's organisation.