

Appendix 1

DOCUMENTATION FOR RISK ASSESSMENT

Please note that only the Spanish version of this Circular produces legal effect. Any translation is provided for commercial purposes only.

Markets, trading systems, central counterparties and other entities seeking to establish an agreement with Iberclear in order to access the ARCO System must submit the following documentation to this end:

- Access request form.
- Risk assessment questionnaire pursuant to Article 89 of Delegated Regulation (EU) 2017/392.
- Photocopy of an official identification document of the entity's legal representative (national ID, passport or equivalent document).
- Document verifying the incorporation of the entity and its activity.* The following will be accepted:
 - ✓ Current extract from the Commercial Register (certified original copy) no more than 12 months old.
 - ✓ Extract in writing from a database of the competent registration authority, a supervisory authority or a trusted and private third party.
 - ✓ Articles of incorporation or equivalent documents (foundation documents, articles of association, articles of constitution, confirmation from the auditors or official permit to perform the activity).
- Registration and supervision document or official registration from the competent authority.*
- Updated list of authorised signatories and documentation verifying this (power of attorney, certified agreements, commercial register or equivalent).
- Signed anti-money laundering Wolfsberg questionnaire (in handwritten or digital format – CBDDQ or FCCQ) no more than 12 months old.*
- Annual or half-year report from the entity, including an independent audit report, no more than 12 months old.*
- Tax documentation: Form 8W-BEN and certified tax residence.
- Identification of the members of the board of directors and the executive committee.
- Update of the documentation required upon obtaining member status if its content has changed.

* Iberclear will periodically request this documentation from entities that have established an agreement with Iberclear in order to access the ARCO System

With a view to performing true and effective risk assessment, Iberclear may also request further documentation in cases where there are additional risk factors that cannot be considered mitigated based on the documentation that is generally requested.

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