# Applicability of the Directive by legal entity

Keep a reference date-based application note with activity, competence and decision by legal entity.

### Legal entity, function and scope

Determine the date, performance and role of responsibility with the own verification identifier.

### Evidence of decision

Capture observation, scope and evidence per test step. Clear each open result before release.

### What facts and evidence do the decision bear?

Select the information relevant to your criterion. Note version, location and reference to your own process for each document.

### Own decision and open order

A subsequent examination shall be carried out in the same category, the same exceptional examination and the same supporting evidence.

# Transfer the sample case to the own holding

In a group, banks, insurance intermediaries and IT service companies are legally separate.

| Example check | Documented status |
| --- | --- |
| Scale The rolls are determined per unit from admission and activity. | |
| Observation Bank approval is mistakenly used as a valid document for the service company. | |
| Reasoned follow-up | Reorder the supporting documents and keep separate the exceptions and contractual roles. |

### Keeping your own deviation and expected effect

What acceptance changes your decision? Determine which own sample and what proof clarify the open question.

# Connect test documents, findings and acceptance

Link each sample with a unique identifier. In case of a different activity, replace the criterion by the test position relevant to your job.

## Delimiting banks and payment services

Art. 2 para. 1 (a?d) · Track an exempt payment service provider from the status to the documented framework decision.

### Observation and evidence

Specify the observed result, location and status.

## Assigning investment and market infrastructures

Art. 2 para. 1 para. e?j · Compare MiCA approval and concrete services with the legal entity used in the distributor.

### Observation and evidence

Specify the observed result, location and status.

## Correction, follow-up date and release

Determine the finding, the correction responsible, the post-test and the decision with date.