

Regulation (EU) 2015/2365 of the European Parliament and of the Council of 25 November 2015 on transparency of securities financing transactions and of reuse and amending Regulation (EU) No 648/2012 (Text with EEA relevance)

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*Changes to legislation:* There are outstanding changes not yet made to Regulation (EU) 2015/2365 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

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Signature

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## ANNEX

### Section A –

Information to be provided in the UCITS half-yearly and annual reports and the AIF's annual report

Global data:

Concentration data:

Aggregate transaction data for each type of SFTs and total...

Data on reuse of collateral:

Safekeeping of collateral received by the collective investment undertaking as...

Safekeeping of collateral granted by the collective investment undertaking as...

### Section B –

Information to be included in the UCITS Prospectus and AIF disclosure to investors:

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- (1) [OJ C 336, 26.9.2014, p. 5.](#)
- (2) [OJ C 451, 16.12.2014, p. 59.](#)
- (3) [OJ C 271, 19.8.2014, p. 87.](#)
- (4) Position of the European Parliament of 29 October 2015 (not yet published in the Official Journal) and decision of the Council of 16 November 2015.
- (5) Regulation (EU) No 1092/2010 of the European Parliament and of the Council of 24 November 2010 on European Union macro-prudential oversight of the financial system and establishing a European Systemic Risk Board ([OJ L 331, 15.12.2010, p. 1.](#))
- (6) Regulation (EU) No 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories ([OJ L 201, 27.7.2012, p. 1.](#))
- (7) Regulation (EU) No 1095/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Securities and Markets Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/77/EC ([OJ L 331, 15.12.2010, p. 84.](#))
- (8) Regulation (EU) No 1093/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Banking Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/78/EC ([OJ L 331, 15.12.2010, p. 12.](#))
- (9) Regulation (EU) No 1094/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/79/EC ([OJ L 331, 15.12.2010, p. 48.](#))
- (10) Council Regulation (EU) No 1024/2013 of 15 October 2013 conferring specific tasks on the European Central Bank concerning policies relating to the prudential supervision of credit institutions ([OJ L 287, 29.10.2013, p. 63.](#))
- (11) Directive 2009/65/EC of the European Parliament and of the Council of 13 July 2009 on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS) ([OJ L 302, 17.11.2009, p. 32.](#))
- (12) Directive 2011/61/EU of the European Parliament and of the Council of 8 June 2011 on Alternative Investment Fund Managers and amending Directives 2003/41/EC and 2009/65/EC and Regulations (EC) No 1060/2009 and (EU) No 1095/2010 ([OJ L 174, 1.7.2011, p. 1.](#))
- (13) Directive 2002/47/EC of the European Parliament and of the Council of 6 June 2002 on financial collateral arrangements ([OJ L 168, 27.6.2002, p. 43.](#))
- (14) Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data ([OJ L 8, 12.1.2001, p. 1.](#))
- (15) [OJ C 328, 20.9.2014, p. 3.](#)
- (16) Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data ([OJ L 281, 23.11.1995, p. 31.](#))

### Changes to legislation:

There are outstanding changes not yet made to Regulation (EU) 2015/2365 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations.

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### Changes and effects yet to be applied to :

- Regulation power to modify conferred by 2023 c. 29 s. 3 Sch. 1 Pt. 1
- Regulation revoked by 2023 c. 29 Sch. 1 Pt. 1
- Art. 2 para. 2 Point (c) addition by EUR 2019/463 Regulation
- Art. 2-20 words substituted by S.I. 2019/542 reg. 5(1)(3)
- Art. 2(3) words substituted by S.I. 2019/542 reg. 6(c)
- Art. 2(4) substituted by S.I. 2019/542 reg. 6(d)
- Art. 4-20 words substituted by S.I. 2019/542 reg. 5(2)
- Art. 4(6) words omitted by S.I. 2019/542 reg. 8(b)
- Art. 4(9) words inserted by S.I. 2019/542 reg. 8(c)(iii)
- Art. 4(9) words omitted by S.I. 2019/542 reg. 8(c)(iv)
- Art. 4(9) words substituted by S.I. 2019/542 reg. 8(c)(i)
- Art. 4(9) words substituted by S.I. 2019/542 reg. 8(c)(ii)
- Art. 4(10) word substituted by S.I. 2019/542 reg. 8(d)(ii)(bb)
- Art. 4(10) words inserted by S.I. 2019/542 reg. 8(d)(iii)
- Art. 4(10) words omitted by S.I. 2019/542 reg. 8(d)(iv)
- Art. 4(10) words substituted by S.I. 2019/542 reg. 8(d)(i)
- Art. 4(10) words substituted by S.I. 2019/542 reg. 8(d)(ii)(aa)
- Art. 5-10 excluded by S.I. 2020/1385 reg. 19(1)
- Art. 5(7) words omitted by S.I. 2019/542 reg. 9(a)(ii)
- Art. 5(7) words substituted by S.I. 2019/542 reg. 9(a)(i)
- Art. 5(8) words omitted by S.I. 2019/542 reg. 9(b)(ii)
- Art. 5(8) words substituted by S.I. 2019/542 reg. 9(b)(i)
- Art. 6 omitted by S.I. 2019/542 reg. 10
- Art. 8(1) words omitted by S.I. 2019/542 reg. 11(a)
- Art. 8(2) omitted by S.I. 2019/542 reg. 11(b)
- Art. 9 omitted by S.I. 2019/542 reg. 12
- Art. 11(1) words omitted by S.I. 2019/542 reg. 14(a)(ii)
- Art. 11(1) words substituted by S.I. 2019/542 reg. 14(a)(i)
- Art. 11(2) words substituted by S.I. 2019/542 reg. 14(b)
- Art. 12(3) word substituted by S.I. 2019/542 reg. 15(b)(i)(bb)
- Art. 12(3) words omitted by S.I. 2019/542 reg. 15(b)(i)(aa)
- Art. 12(3) words omitted by S.I. 2019/542 reg. 15(b)(ii)
- Art. 12(3) words omitted by S.I. 2019/542 reg. 15(b)(iii)
- Art. 13(3) word substituted by S.I. 2019/542 reg. 16(b)(i)(bb)
- Art. 13(3) words omitted by S.I. 2019/542 reg. 16(b)(ii)
- Art. 13(3) words substituted by S.I. 2019/542 reg. 16(b)(i)(aa)
- Art. 14(1) words substituted by S.I. 2019/542 reg. 17(a)(i)
- Art. 14(1) words substituted by S.I. 2019/542 reg. 17(a)(ii)
- Art. 14(3) words omitted by S.I. 2019/542 reg. 17(b)(ii)
- Art. 14(3) words substituted by S.I. 2019/542 reg. 17(b)(i)
- Art. 15(1) words substituted by S.I. 2019/542 reg. 18(a)
- Art. 15(3) words omitted by S.I. 2019/542 reg. 18(b)
- Art. 16 omitted by S.I. 2019/542 reg. 19
- Art. 17 omitted by S.I. 2019/542 reg. 19
- Art. 18(2) word substituted by S.I. 2019/542 reg. 20(a)(ii)
- Art. 18(2) words omitted by S.I. 2019/542 reg. 20(a)(i)
- Art. 18(2) words substituted by S.I. 2019/542 reg. 20(a)(iii)
- Art. 18(2) words substituted by S.I. 2019/681 reg. 12(2)(a)
- Art. 18(3) word inserted by S.I. 2019/681 reg. 12(2)(b)(ii)
- Art. 18(3) words substituted by S.I. 2019/542 reg. 20(b)(i)

- Art. 18(3) words substituted by [S.I. 2019/542 reg. 20\(b\)\(ii\)](#)
- Art. 18(3) words substituted by [S.I. 2019/542 reg. 20\(b\)\(iii\)](#)
- Art. 18(3) words substituted by [S.I. 2019/681 reg. 12\(2\)\(b\)\(i\)](#)
- Art. 18(3) words substituted by [S.I. 2019/681 reg. 12\(2\)\(b\)\(iii\)](#)
- Art. 18(3) words substituted by [S.I. 2019/681 reg. 12\(2\)\(b\)\(iv\)](#)
- Art. 18(4) omitted by [S.I. 2019/542 reg. 20\(c\)](#)
- Art. 18(5) substituted by [S.I. 2019/542 reg. 20\(d\)](#)
- Art. 18(5) substituted by [S.I. 2019/681 reg. 12\(2\)\(c\)](#)
- Art. 19 words substituted by [S.I. 2019/542 reg. 21\(a\)](#)
- Art. 19(1) words substituted by [S.I. 2019/542 reg. 21\(b\)\(i\)](#)
- Art. 19(1) words substituted by [S.I. 2019/542 reg. 21\(b\)\(iv\)](#)
- Art. 19(2) omitted by [S.I. 2019/542 reg. 21\(c\)](#)
- Art. 19(5) words omitted by [S.I. 2019/542 reg. 21\(d\)\(iii\)](#)
- Art. 21 words substituted by [S.I. 2019/542 reg. 22\(a\)](#)
- Art. 21(1) words substituted by [S.I. 2019/542 reg. 22\(b\)](#)
- Art. 21(2) words omitted by [S.I. 2019/542 reg. 22\(c\)\(ii\)](#)
- Art. 21(2) words omitted by [S.I. 2019/542, reg. 22\(c\)\(iii\)](#) (as inserted) by [S.I. 2020/1385 reg. 56\(3\)](#)
- Art. 21(2) words substituted by [S.I. 2019/542 reg. 22\(c\)\(i\)](#)
- Art. 22 substituted by [S.I. 2019/542 reg. 23](#)
- Art. 23-33 omitted by [S.I. 2019/542 reg. 24](#)

#### **Changes and effects yet to be applied to the whole legislation item and associated provisions**

- Art. 2(1)(b) substituted by [S.I. 2019/542 reg. 6\(a\)\(i\)](#)
- Art. 2(1)(c) words substituted by [S.I. 2019/542 reg. 6\(a\)\(ii\)](#)
- Art. 2(2)(a) substituted by [S.I. 2019/542 reg. 6\(b\)](#)
- Art. 3(3)(a)-(g) substituted for Art. 3(3)(a)-(h) by [S.I. 2019/542 reg. 7\(a\)](#)
- Art. 3(3)(a) words substituted in earlier amending provision [S.I. 2019/542, reg. 7\(a\)](#) by [S.I. 2020/1301 reg. 3Sch. para. 30\(a\)](#)
- Art. 3(3)(g) words inserted in earlier affecting provision [S.I. 2019/542, reg. 7\(a\)](#) by [S.I. 2020/646 reg. 8](#)
- Art. 3(3)(g) words substituted in earlier amending provision [S.I. 2019/542, reg. 7\(a\)](#) by [S.I. 2020/1385 reg. 56\(2\)](#)
- Art. 3(3)(h) inserted by [S.I. 2020/1385 reg. 75](#)
- Art. 3(12) words substituted by [S.I. 2019/542 reg. 7\(b\)](#)
- Art. 3(13) words substituted by [S.I. 2019/542 reg. 7\(c\)](#)
- Art. 3(14) words substituted by [S.I. 2019/542 reg. 7\(d\)](#)
- Art. 3(16) words substituted by [S.I. 2019/542 reg. 7\(e\)](#)
- Art. 3(19)-(32) inserted by [S.I. 2019/542 reg. 7\(f\)](#)
- Art. 3(30)(32) words substituted in earlier amending provision [S.I. 2019/542, reg. 7\(f\)](#) by [S.I. 2020/1301 reg. 3Sch. para. 30\(f\)](#)
- Art. 4(5)(5a) substituted for Art. 4(5) by [S.I. 2019/542 reg. 8\(a\)](#)
- Art. 1010a10b substituted for Art. 10 by [S.I. 2019/542 reg. 13](#)
- Art. 12(2)(b) substituted by [S.I. 2019/542 reg. 15\(a\)\(i\)](#)
- Art. 12(2)(c) substituted by [S.I. 2019/542 reg. 15\(a\)\(ii\)](#)
- Art. 12(2)(d) substituted by [S.I. 2019/542 reg. 15\(a\)\(iii\)](#)
- Art. 12(2)(e) omitted by [S.I. 2019/542 reg. 15\(a\)\(iv\)](#)
- Art. 12(2)(e) substituted for Art. 12(2)(h) by [S.I. 2019/542 reg. 15\(a\)\(vi\)](#)
- Art. 12(2)(f) omitted by [S.I. 2019/542 reg. 15\(a\)\(iv\)](#)
- Art. 12(2)(g) words substituted by [S.I. 2019/542 reg. 15\(a\)\(v\)](#)
- Art. 12(2)(i)-(m) omitted by [S.I. 2019/542 reg. 15\(a\)\(vii\)](#)
- Art. 13(1)(a) words substituted by [S.I. 2019/542 reg. 16\(a\)\(i\)](#)
- Art. 13(1)(b) words substituted by [S.I. 2019/542 reg. 16\(a\)\(ii\)](#)
- Art. 19(1)(a) words inserted by [S.I. 2019/542 reg. 21\(b\)\(ii\)](#)
- Art. 19(1)(d) omitted by [S.I. 2019/542 reg. 21\(b\)\(iii\)](#)

- Art. 19(5)(a) word substituted by [S.I. 2019/542 reg. 21\(d\)\(i\)](#)
- Art. 19(5)(b)(i) words omitted by [S.I. 2019/542 reg. 21\(d\)\(ii\)](#)