

**Changes to legislation:** The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018, PART 3 is up to date with all changes known to be in force on or before 19 April 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

## SCHEDULE

### Modifications etc. (not altering text)

- C1** Sch. modified (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **11(2)(4)** (with reg. 11(8)-(10)) (as amended by [S.I. 2020/1301](#), regs. 1, 3, **Sch. para. 40(f)**); 2020 c. 1, **Sch. 5 para. 1(1)**

## PART 3

### EU Regulations for which the Bank of England is the appropriate regulator

#### Bank Recovery and Resolution Directive

**104.** Commission Implementing Regulation (EU) 2016/962 of 16 June 2016 laying down implementing technical standards with regard to the uniform formats, templates and definitions for the identification and transmission of information by competent authorities and resolution authorities to the European Banking Authority according to Directive 2014/59/EU of the European Parliament and of the Council <sup>M1</sup>.

### Marginal Citations

- M1** OJ L160, 17.6.2016, p.35.

<sup>F1</sup>**105.** . . . . .

### Textual Amendments

- F1** Sch. para. 105 omitted (15.3.2019) by virtue of [The Financial Regulators Powers \(Technical Standards etc.\) and Markets in Financial Instruments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/576\)](#), regs. 1(2), **2(5)**

**106.** Articles 22 to 32, 37 to 41 and 50 to 109 of Commission Delegated Regulation (EU) 2016/1075 of 23 March 2016 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the content of recovery plans, resolution plans and group resolution plans, the minimum criteria that the competent authority is to assess as regards recovery plans and group recovery plans, the conditions for group financial support, the requirements for independent valuers, the contractual recognition of write-down and conversion powers, the procedures and contents of notification requirements and of notice of suspension and the operational functioning of the resolution colleges <sup>M2</sup>.

### Marginal Citations

- M2** OJ L184, 8.7.2016, p.1.

**107.** Commission Delegated Regulation (EU) 2016/1400 of 10 May 2016 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the minimum elements of a business reorganisation plan and the minimum contents of the reports on the progress in the implementation of the plan <sup>M3</sup>.

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**Marginal Citations**

**M3** OJ L228, 23.8.2016, p.1.

**108.** Commission Delegated Regulation (EU) 2016/1401 of 23 May 2016 supplementing Directive 2014/59/EU of the European Parliament and of the Council establishing a framework for the recovery and resolution of credit institutions and investment firms with regard to regulatory technical standards for methodologies and principles on the valuation of liabilities arising from derivatives <sup>M4</sup>.

**Marginal Citations**

**M4** OJ L228, 23.8.2016, p.7.

**109.** Commission Delegated Regulation (EU) 2016/1450 of 23 May 2016 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the criteria relating to the methodology for setting the minimum requirement for own funds and eligible liabilities <sup>M5</sup>.

**Marginal Citations**

**M5** OJ L237, 3.9.2016, p.1.

**110.** Commission Delegated Regulation (EU) 2016/1712 of 7 June 2016 supplementing Directive 2014/59/EU of the European Parliament and of the Council establishing a framework for the recovery and resolution of credit institutions and investment firms with regard to regulatory technical standards specifying a minimum set of the information on financial contracts that should be contained in the detailed records and the circumstances in which the requirement should be imposed <sup>M6</sup>.

**Marginal Citations**

**M6** OJ L258, 24.9.2016, p.1.

**111.** Commission Implementing Regulation (EU) 2018/308 of 1 March 2018 laying down implementing technical standards for Directive 2014/59/EU of the European Parliament and of the Council with regard to formats, templates and definitions for the identification and transmission of information by resolution authorities for the purposes of informing the European Banking Authority of the minimum requirement for own funds and eligible liabilities <sup>M7</sup>.

**Marginal Citations**

**M7** OJ L60, 2.3.2018, p.7.

**112.** Commission Delegated Regulation (EU) 2018/344 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the criteria relating to the methodologies for valuation of difference in treatment in resolution <sup>M8</sup>.

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#### Marginal Citations

**M8** OJ L67, 9.3.2018, p.3.

**113.** Commission Delegated Regulation (EU) 2018/345 of 14 November 2017 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the criteria relating to the methodology for assessing the value of assets and liabilities of institutions or entities <sup>M9</sup>.

#### Marginal Citations

**M9** OJ L67, 9.3.2018, p.8.

[<sup>F2</sup>**113A.** Commission Implementing Regulation (EU) 2018/1624 of 23 October 2018 laying down implementing technical standards with regard to procedures and standard forms and templates for the provision of information for the purposes of resolution plans for credit institutions and investment firms pursuant to Directive 2014/59/EU of the European Parliament and of the Council, and repealing Commission Implementing Regulation (EU) 2016/1066.]

#### Textual Amendments

**F2** Sch. para. 113A inserted (15.3.2019) by The Financial Regulators Powers (Technical Standards etc.) and Markets in Financial Instruments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/576), regs. 1(2), 2(6)

[<sup>F3</sup>**113B.** Commission Delegated Regulation (EU) 2019/348 of 25 October 2018 supplementing Directive 2014/59/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the criteria for assessing the impact of an institution's failure on financial markets, on other institutions and on funding conditions .]

#### Textual Amendments

**F3** Sch. para. 113B inserted (25.10.2019) by The Financial Services (Miscellaneous) (Amendment) (EU Exit) (No. 3) Regulations 2019 (S.I. 2019/1390), regs. 1(3), 8(5)

### Central Securities Depositories Regulation

**114.** Articles 1 to 7 of, and the Annex to, Commission Delegated Regulation (EU) 2017/390 of 11 November 2016 supplementing Regulation (EU) 909/2014 of the European Parliament and of the Council with regard to regulatory technical standards on certain prudential requirements for central securities depositories and designated credit institutions offering banking-type ancillary services <sup>M10</sup>.

#### Marginal Citations

**M10** OJ L65, 10.3.2017, p.9.

**115.** Commission Delegated Regulation (EU) 2017/391 of 11 November 2016 supplementing Regulation (EU) 909/2014 of the European Parliament and of the Council with regard to regulatory technical standards further specifying the content of the reporting on internalised settlements <sup>M11</sup>.

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**Marginal Citations**

**M11** OJ L65, 10.3.2017, p.44.

**116.** Commission Delegated Regulation (EU) 2017/392 of 11 November 2016 supplementing Regulation (EU) 909/2014 with regard to regulatory technical standards on authorisation, supervisory and operational requirements for central securities depositories <sup>M12</sup>.

**Marginal Citations**

**M12** OJ L65, 10.3.2017, p.48.

**117.** Commission Implementing Regulation (EU) 2017/393 of 11 November 2016 laying down implementing technical standards on the templates and procedures for the reporting and transmission of information on internalised settlements in accordance with Regulation (EU) 909/2014 of the European Parliament and of the Council <sup>M13</sup>.

**Marginal Citations**

**M13** OJ L65, 10.3.2017, p.116.

**118.** Commission Implementing Regulation (EU) 2017/394 of 11 November 2016 laying down implementing technical standards with regard to standard forms, templates and procedures for authorisation, review and evaluation of central securities depositories, for the cooperation between authorities of the home Member State and the host Member State, for the consultation of authorities involved in the authorisation to provide banking-type ancillary services, for access involving central securities depositories, and on the format of the records to be maintained by central securities depositories in accordance with Regulation (EU) 909/2014 of the European Parliament and of the Council <sup>M14</sup>.

**Marginal Citations**

**M14** OJ L65, 10.3.2017, p.145.

European Markets Infrastructure Regulation

**119.** Commission Implementing Regulation (EU) 1249/2012 of 19 December 2012 laying down implementing technical standards with regard to the format of the records to be maintained by central counterparties according to Regulation (EU) 648/2012 of the European Parliament and of the Council on OTC derivatives, central counterparties and trade repositories <sup>M15</sup>.

**Marginal Citations**

**M15** OJ L352, 21.12.2012, p.32.

**120.** Commission Delegated Regulation (EU) 152/2013 of 19 December 2012 supplementing Regulation (EU) 648/2012 of the European Parliament and of the Council with regard to regulatory technical standards on capital requirements for central counterparties <sup>M16</sup>.

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**M16** OJ L52, 23.2.2013, p.37.

**121.** Commission Delegated Regulation (EU) 153/2013 of 19 December 2012 supplementing Regulation (EU) 648/2012 of the European Parliament and of the Council with regard to regulatory technical standards on requirements for central counterparties <sup>M17</sup>.

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**Marginal Citations**

**M17** OJ L52, 23.2.2013, p.41.

**122.** Commission Delegated Regulation (EU) 876/2013 of 28 May 2013 supplementing Regulation (EU) 648/2012 of the European Parliament and of the Council with regard to regulatory technical standards on colleges for central counterparties <sup>M18</sup>.

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**Marginal Citations**

**M18** OJ L244, 13.9.2013, p.19.

**123.** Commission Implementing Regulation (EU) 484/2014 of 12 May 2014 laying down implementing technical standards with regard to the hypothetical capital of a central counterparty according to Regulation (EU) 648/2012 of the European Parliament and of the Council <sup>M19</sup>.

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**Marginal Citations**

**M19** OJ L138, 13.5.2014, p.57.

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

- Regulations revoked by [2023 c. 29 Sch. 1 Pt. 2](#)