

## SCHEDULE

### PART 4

#### EU Regulations for which both the PRA and FCA are appropriate regulators

##### Bank Recovery and Resolution Directive

**124.** Commission Implementing Regulation (EU) 2016/911 of 9 June 2016 laying down implementing technical standards with regard to the form and the content of the description of group financial support agreements in accordance with [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<sup>(1)</sup>.

**125.** Articles 1 to 21, 33 to 36, 42 to 49 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>(2)</sup>.

##### Capital Requirements Directive

**126.** Commission Delegated Regulation (EU) 524/2014 of 12 March 2014 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying the information that competent authorities of home and host Member States supply to one another<sup>(3)</sup>.

**127.** Commission Delegated Regulation (EU) 527/2014 of 12 March 2014 supplementing Directive (EU) No 2013/36/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the classes of instruments that adequately reflect the credit quality of an institution as a going concern and are appropriate to be used for the purposes of variable remuneration<sup>(4)</sup>.

**128.** Commission Delegated Regulation (EU) 530/2014 of 12 March 2014 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards further defining material exposures and thresholds for internal approaches to specific risk in the trading book<sup>(5)</sup>.

**129.** Commission Delegated Regulation (EU) 604/2014 of 4 March 2014 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards with respect to qualitative and appropriate quantitative criteria to identify categories of staff whose professional activities have a material impact on an institution's risk profile<sup>(6)</sup>.

**130.** Commission Implementing Regulation (EU) 620/2014 of 4 June 2014 laying down implementing technical standards with regard to information exchange between competent

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(1) OJ L153, 10.6.2016, p.25.

(2) OJ L184, 8.7.2016, p.1.

(3) OJ L148, 20.5.2014, p.6.

(4) OJ L148, 20.5.2014, p.21.

(5) OJ L148, 20.5.2014, p.50.

(6) OJ L167, 6.6.2014, p.30.

authorities of home and host Member States, according to [Directive 2013/36/EU](#) of the European Parliament and of the Council(7).

**131.** Commission Implementing Regulation (EU) 650/2014 of 4 June 2014 laying down implementing technical standards with regard to the format, structure, contents list and annual publication date of the information to be disclosed by competent authorities in accordance with [Directive 2013/36/EU](#) of the European Parliament and of the Council(8).

**132.** Commission Implementing Regulation (EU) 710/2014 of 23 June 2014 laying down implementing technical standards with regard to conditions of application of the joint decision process for institution-specific prudential requirements according to [Directive 2013/36/EU](#) of the European Parliament and of the Council(9).

**133.** Commission Implementing Regulation (EU) 926/2014 of 27 August 2014 laying down implementing technical standards with regard to standard forms, templates and procedures for notifications relating to the exercise of the right of establishment and the freedom to provide services according to [Directive 2013/36/EU](#) of the European Parliament and of the Council(10).

**134.** Commission Delegated Regulation (EU) 1151/2014 of 4 June 2014 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards on the information to be notified when exercising the right of establishment and the freedom to provide services(11).

**135.** Commission Delegated Regulation (EU) 1152/2014 of 4 June 2014 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards on the identification of the geographical location of the relevant credit exposures for calculating institution-specific countercyclical capital buffer rates(12).

**136.** Commission Delegated Regulation (EU) 2016/98 of 16 October 2015 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards for specifying the general conditions for the functioning of colleges of supervisors(13).

**137.** Commission Implementing Regulation (EU) 2016/99 of 16 October 2015 laying down implementing technical standards with regard to determining the operational functioning of the colleges of supervisors according to [Directive 2013/36/EU](#) of the European Parliament and of the Council(14).

**138.** Commission Implementing Regulation (EU) 2016/2070 of 14 September 2016 laying down implementing technical standards for templates, definitions and IT-solutions to be used by institutions when reporting to the European Banking Authority and to competent authorities in accordance with Article 78(2) of [Directive 2013/36/EU](#) of the European Parliament and of the Council(15).

**139.** Commission Delegated Regulation (EU) 2017/180 of 24 October 2016 supplementing [Directive 2013/36/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards for benchmarking portfolio assessment standards and assessment-sharing procedures(16).

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(7) OJ L172, 12.6.2014, p.1.

(8) OJ L185, 25.6.2014, p.1.

(9) OJ L188, 27.6.2014, p.19.

(10) OJ L254, 28.8.2014, p.2.

(11) OJ L309, 30.10.2014, p.1.

(12) OJ L309, 30.10.2014, p.5.

(13) OJ L21, 28.1.2016, p.2.

(14) OJ L21, 28.1.2016, p.21.

(15) OJ L328, 2.12.2016, p.1.

(16) OJ L29, 3.2.2017, p.1.

**140.** Commission Implementing Regulation (EU) 2017/461 of 16 March 2017 laying down implementing technical standards with regard to common procedures, forms and templates for the consultation process between the relevant competent authorities for proposed acquisitions of qualifying holdings in credit institutions as referred to in Article 24 of [Directive 2013/36/EU](#) of the European Parliament and of the Council(**17**).

#### Capital Requirements Regulation

**141.** Commission Implementing Regulation (EU) 2013/1423 of 20 December 2013 laying down implementing technical standards with regard to disclosure of own funds requirements for institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(**18**).

**142.** Commission Delegated Regulation (EU) 2014/183 of 20 December 2013 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council on prudential requirements for credit institutions and investment firms, with regard to regulatory technical standards for specifying the calculation of specific and general credit risk adjustments(**19**).

**143.** Commission Delegated Regulation (EU) 2014/241 of 7 January 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for own funds requirements for institutions(**20**).

**144.** Commission Delegated Regulation (EU) 2014/523 of 12 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for determining what constitutes the close correspondence between the value of an institution's covered bonds and the value of the institution's assets(**21**).

**145.** Commission Delegated Regulation (EU) 2014/525 of 12 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the definition of market(**22**).

**146.** Commission Delegated Regulation (EU) 2014/526 of 12 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for determining proxy spread and limited smaller portfolios for credit valuation adjustment risk(**23**).

**147.** Commission Delegated Regulation (EU) 2014/528 of 12 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for non-delta risk of options in the standardised market risk approach(**24**).

**148.** Commission Delegated Regulation (EU) 2014/529 of 12 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for assessing the materiality of extensions and changes of the Internal Ratings Based Approach and the Advanced Measurement Approach(**25**).

**149.** Commission Implementing Regulation (EU) 2014/602 of 4 June 2014 laying down implementing technical standards for facilitating the convergence of supervisory practices with

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(17) OJ L72, 17.3.2017, p.57.

(18) OJ L355, 31.12.2013, p.60.

(19) OJ L57, 27.2.2014, p.3.

(20) OJ L74, 14.3.2014, p.8.

(21) OJ L148, 20.5.2014, p.4.

(22) OJ L148, 20.5.2014, p.15.

(23) OJ L148, 20.5.2014, p.17.

(24) OJ L148, 20.5.2014, p.29.

(25) OJ L148, 20.5.2014, p.36.

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regard to the implementation of additional risk weights according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(26).

**150.** Commission Delegated Regulation (EU) 2014/625 of 13 March 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council by way of regulatory technical standards specifying the requirements for investor, sponsor, original lenders and originator institutions relating to exposures to transferred credit risk(27).

**151.** Commission Implementing Regulation (EU) 2014/680 of 16 April 2014 laying down implementing technical standards with regard to supervisory reporting of institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(28).

**152.** Commission Implementing Regulation (EU) 2014/945 of 4 September 2014 laying down implementing technical standards with regard to relevant appropriately diversified indices according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(29).

**153.** Commission Implementing Regulation (EU) 1030/2014 of 29 September 2014 laying down implementing technical standards with regard to the uniform formats and date for the disclosure of the values used to identify global systemically important institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(30).

**154.** Commission Delegated Regulation (EU) 2014/1187 of 2 October 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council as regards regulatory technical standards for determining the overall exposure to a client or a group of connected clients in respect of transactions with underlying assets(31).

**155.** Commission Delegated Regulation (EU) 2015/585 of 18 December 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the specification of margin periods of risk(32).

**156.** Commission Delegated Regulation (EU) 2015/1555 of 28 May 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the disclosure of information in relation to the compliance of institutions with the requirement for a countercyclical capital buffer in accordance with Article 440(33).

**157.** Commission Delegated Regulation (EU) 2015/1556 of 11 June 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the transitional treatment of equity exposures under the IRB approach(34).

**158.** Commission Implementing Regulation (EU) 2015/2197 of 27 November 2015 laying down implementing technical standards with regard to closely correlated currencies in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council(35).

**159.** Commission Implementing Regulation (EU) 2016/100 of 16 October 2015 laying down implementing technical standards specifying the joint decision process with regard to the application

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(26) OJ L166, 5.6.2014, p.22.

(27) OJ L174, 13.6.2014, p.16.

(28) OJ L191, 28.6.2014, p.1.

(29) OJ L265, 5.9.2014, p.3.

(30) OJ L284, 30.9.2014, p.14.

(31) OJ L324, 7.11.2014, p.1.

(32) OJ L98, 15.4.2015, p.1.

(33) OJ L244, 19.9.2015, p.1.

(34) OJ L244, 19.9.2015, p.9.

(35) OJ L313, 28.11.2015, p.30.

for certain prudential permissions pursuant to Regulation (EU) No 575/2013 of the European Parliament and of the Council(36).

**160.** Commission Delegated Regulation (EU) 2016/101 of 26 October 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for prudent valuation under Article 105(14)(37).

**161.** Commission Implementing Regulation (EU) 2016/200 of 15 February 2016 laying down implementing technical standards with regard to disclosure of the leverage ratio for institutions, according to Regulation (EU) No 575/2013 of the European Parliament and of the Council(38).

**162.** Commission Implementing Regulation (EU) 2016/1646 of 13 September 2016 laying down implementing technical standards with regard to main indices and recognised exchanges in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council on prudential requirements for credit institutions and investment firms(39).

**163.** Commission Implementing Regulation (EU) 2016/1799 of 7 October 2016 laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for credit risk in accordance with Articles 136(1) and 136(3) of Regulation (EU) No 575/2013 of the European Parliament and of the Council(40).

**164.** Commission Implementing Regulation (EU) 2016/1801 of 11 October 2016 on laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for securitisation in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council(41).

**165.** Commission Delegated Regulation (EU) 2017/72 of 23 September 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards specifying conditions for data waiver permissions(42).

**166.** Commission Delegated Regulation (EU) 2017/2295 of 4 September 2017 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for disclosure of encumbered and unencumbered assets(43).

**167.** Commission Delegated Regulation (EU) 2018/171 of 19 October 2017 on supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the materiality threshold for credit obligations past due.(44)

**168.** Commission Delegated Regulation (EU) 2018/728 of 24 January 2018 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for procedures for excluding transactions with non-financial counterparties established in a third country from the own funds requirement for credit valuation adjustment risk(45).

#### European Markets Infrastructure Regulation

**169.** Commission Delegated Regulation (EU) 2016/2251 of 4 October 2016 supplementing Regulation (EU) No 648/2012 of the European Parliament and of the Council on OTC derivatives,

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(36) OJ L21, 28.1.2016, p.45.

(37) OJ L21, 28.1.2016, p.54.

(38) OJ L39, 16.2.2016, p.5.

(39) OJ L245, 14.9.2016, p.5.

(40) OJ L275, 12.10.2016, p.3.

(41) OJ L275, 12.10.2016, p.27.

(42) OJ L10, 14.1.2017, p.1.

(43) OJ L329, 13.12.2017, p.6.

(44) OJ L32, 6.2.2018, p.1.

(45) OJ L123, 18.5.2018, p.1.

central counterparties and trade repositories with regard to regulatory technical standards for risk-mitigation techniques for OTC derivative contracts not cleared by a central counterparty(46).

#### Financial Conglomerates Directive

**170.** Commission Delegated Regulation (EU) 342/2014 of 21 January 2014 supplementing [Directive 2002/87/EC](#) of the European Parliament and of the Council and Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the application of the calculation methods of capital adequacy requirements for financial conglomerates(47).

**171.** Commission Delegated Regulation (EU) 2015/2303 of 28 July 2015 supplementing [Directive 2002/87/EC](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying the definitions and coordinating the supplementary supervision of risk concentration and intra-group transactions(48).

#### Markets in Financial Instruments Directive

**172.** Commission Delegated Regulation (EU) 2017/589 of 19 July 2016 supplementing [Directive 2014/65/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying the organisational requirements of investment firms engaged in algorithmic trading(49).

**173.** Commission Implementing Regulation (EU) 2017/1945 of 19 June 2017 laying down implementing technical standards with regard to notifications by and to applicant and authorised investment firms according to [Directive 2014/65/EU](#) of the European Parliament and of the Council(50).

**174.** Commission Delegated Regulation (EU) 2017/1946 of 11 July 2017 supplementing Directives [2004/39/EC](#) and [2014/65/EU](#) of the European Parliament and of the Council with regard to regulatory technical standards for an exhaustive list of information to be included by proposed acquirers in the notification of a proposed acquisition of a qualifying holding in an investment firm(51).

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(46) OJ L3440, 15.12.2016, p.9.

(47) OJ L100, 3.4.2014, p.1.

(48) OJ L326, 11.12.2015, p.34.

(49) OJ L87, 31.3.2017, p.417.

(50) OJ L276, 26.10.2017, p.22.

(51) OJ L276, 26.10.2017, p.32.