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COMMISSION IMPLEMENTING DECISION

of 12 December 2014

on the equivalence of the supervisory and regulatory requirements of certain third countries and territories for the purposes of the treatment of exposures according to Regulation (EU) No 575/2013 of the European Parliament and of the Council

(Text with EEA relevance)

(2014/908/EU)

(OJ L 359, 16.12.2014, p. 155)

Amended by:

		Official Journal		
		No	page	date
► <u>M1</u>	Commission Implementing Decision (EU) 2016/230 of 17 February 2016	L 41	23	18.2.2016
► <u>M2</u>	Commission Implementing Decision (EU) 2016/2358 of 20 December 2016	L 348	75	21.12.2016

**COMMISSION IMPLEMENTING DECISION****of 12 December 2014****on the equivalence of the supervisory and regulatory requirements of certain third countries and territories for the purposes of the treatment of exposures according to Regulation (EU) No 575/2013 of the European Parliament and of the Council****(Text with EEA relevance)**

(2014/908/EU)

*Article 1***Equivalence of requirements applied to credit institutions for the purposes of Article 107(4) of Regulation (EU) No 575/2013**

For the purposes of Article 107(4) of Regulation (EU) No 575/2013, the third countries and territories listed in Annex I to this Decision shall be considered as applying supervisory and regulatory arrangements to credit institutions equivalent to those applied in the Union.

*Article 2***Equivalence of requirements applied to investment firms for the purposes of Article 107(4) of Regulation (EU) No 575/2013**

For the purposes of Article 107(4) of Regulation (EU) No 575/2013, the third countries listed in Annex II to this Decision shall be considered as applying supervisory and regulatory arrangements to investment firms equivalent to those applied in the Union.

*Article 3***Equivalence of requirements applied to exchanges for the purposes of Article 107(4) of Regulation (EU) No 575/2013**

For the purposes of Article 107(4) of Regulation (EU) No 575/2013, the third countries listed in Annex III to this Decision shall be considered as applying supervisory and regulatory arrangements to exchanges equivalent to those applied in the Union.

*Article 4***Equivalence of requirements applied to exposures to central governments, central banks, regional governments, local authorities and public sector entities for the purposes of Articles 114, 115, 116 of Regulation (EU) No 575/2013**

For the purposes of Articles 114(7), 115(4) and 116(5) of Regulation (EU) No 575/2013, the third countries and territories listed in Annex IV to this Decision shall be considered as applying supervisory and regulatory arrangements equivalent to those applied to credit institutions in the Union.

▼B

Article 5

Equivalence of requirements to credit institutions and investment firms for the purposes Article 142 of Regulation (EU) No 575/2013

For the purposes of Article 142(2) of Regulation (EU) No 575/2013, the third countries and territories listed in Annex V to this Decision shall be considered as applying supervisory and regulatory arrangements equivalent to those applied in the Union.

Article 6

Entry into force

This Decision shall enter into force on 1 January 2015.

▼M2*ANNEX I***List of third countries and territories for the purposes of Article 1 (credit institutions)**

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Faroe Islands
- (6) Greenland
- (7) Guernsey
- (8) Hong Kong
- (9) India
- (10) Isle of Man
- (11) Japan
- (12) Jersey
- (13) Mexico
- (14) Monaco
- (15) New Zealand
- (16) Saudi Arabia
- (17) Singapore
- (18) South Africa
- (19) Switzerland
- (20) Turkey
- (21) USA

▼ **M1**

ANNEX II

**LIST OF THIRD COUNTRIES AND TERRITORIES FOR THE
PURPOSES OF ARTICLE 2 (INVESTMENT FIRMS)**

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Hong Kong
- (6) Indonesia
- (7) Japan (limited to Type I Financial Instruments Business Operators)
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

▼ **M1**

ANNEX III

**LIST OF THIRD COUNTRIES FOR THE PURPOSES OF ARTICLE 3
(EXCHANGES)**

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) India
- (6) Indonesia
- (7) Japan
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

▼M2*ANNEX IV***List of third countries and territories for the purposes of Article 4 (credit institutions)**

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Faroe Islands
- (6) Greenland
- (7) Guernsey
- (8) Hong Kong
- (9) India
- (10) Isle of Man
- (11) Japan
- (12) Jersey
- (13) Mexico
- (14) Monaco
- (15) New Zealand
- (16) Saudi Arabia
- (17) Singapore
- (18) South Africa
- (19) Switzerland
- (20) Turkey
- (21) USA

▼M2*ANNEX V***List of third countries and territories for the purposes of Article 5 (credit institutions and investment firms)**

Credit institutions:

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Faroe Islands
- (6) Greenland
- (7) Guernsey
- (8) Hong Kong
- (9) India
- (10) Isle of Man
- (11) Japan
- (12) Jersey
- (13) Mexico
- (14) Monaco
- (15) New Zealand
- (16) Saudi Arabia
- (17) Singapore
- (18) South Africa
- (19) Switzerland
- (20) Turkey
- (21) USA

Investment firms:

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Hong Kong
- (6) Indonesia

▼ **M2**

- (7) Japan (limited to Type I Financial Instruments Business Operators)
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA