

Regulation (EU) No 1011/2012 of the European Central Bank of 17  
October 2012 concerning statistics on holdings of securities (ECB/2012/24)

Article 3

**[<sup>F1</sup>Statistical reporting requirements for sectoral data reporting agents]**

[<sup>F21</sup> MFIs, IFs, FVCs, ICs and custodians shall provide to their relevant NCB security-by-security data on end-of-quarter or end-of-month positions and, in accordance with paragraph 5, financial transactions over the reference month or quarter, or the statistical information needed to derive such transactions, on own holdings of securities with an ISIN code, in accordance with Part 2 of Annex I. Such data shall be reported on a quarterly or monthly basis in accordance with the reporting instructions laid down by the relevant NCBs.]

2 A custodian shall inform the relevant NCB of the conduct of custodian activities within one week from the date on which it starts custodian activities, irrespective of whether it expects to be subject to regular reporting obligations under this Regulation, unless a custodian has informed other competent authorities thereof.

Custodians shall provide to the relevant NCB on a quarterly or monthly basis, in accordance with the reporting instructions defined by the relevant NCBs, security-by-security data on end-of-quarter or end-of-month positions and, in accordance with paragraph 5, financial transactions over the reference quarter or month, on the following securities with an ISIN code:

- [<sup>F1a</sup> securities they hold in custody for resident clients that do not report their own holdings pursuant to paragraph 1, in accordance with Part 3 of Chapter 1 of Annex I;
- b securities they hold in custody for non-financial clients resident in other euro area Member States, in accordance with Part 4 of Chapter 1 of Annex I;
- c securities issued by euro area entities they hold in custody for clients resident in non-euro area Member States and for clients resident outside the Union, in accordance with Part 5 of Chapter 1 of Annex I.]

[<sup>F32a</sup> The relevant NCB shall request that custodians report on a quarterly or monthly basis, in accordance with the reporting instructions laid down by the relevant NCBs, security-by-security data and investor information on end-of-quarter or end-of-month positions and, in accordance with paragraph 5, financial transactions over the reference quarter or month, on the securities with an ISIN code they hold in custody on behalf of ICs.

2b Where NCBs derive data to be reported by ICs under this Regulation from data collected under Directive 2009/138/EC, ICs shall provide to the relevant NCB, on an annual basis, either aggregated or security-by-security data on end-of-year positions of securities with an ISIN code, further broken down by the total domestic holdings of the IC and the total holdings of its branches in each EEA country and outside the EEA, in accordance with Part 8 of Annex I. In this case, ICs that contribute to the annual reporting shall account for at least 95 % of the total holdings by ICs of securities with an ISIN code in the relevant euro area Member State.]

<sup>F43</sup> .....

<sup>F44</sup> .....

[<sup>F15</sup> Sectoral data reporting agents shall, in accordance with instructions by the relevant NCB, report either (a) security-by-security data on monthly or quarterly financial transactions

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*Changes to legislation:* There are outstanding changes not yet made to Regulation (EU) No 1011/2012 of the European Central Bank. 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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and, where requested by the relevant NCB, other changes in volume; or (b) the statistical information needed to derive financial transactions on the basis of one of the approaches specified in Part 1 of Chapter 1 of Annex I. Further requirements and guidelines regarding the compilation of transactions are laid down in Part 3 of Annex II.

6 Sectoral data reporting agents shall, if instructed by the relevant NCB, report on a quarterly or monthly basis data on end-of-quarter or end-of-month positions and, in accordance with paragraph 5, statistical information over the reference quarter or month, on holdings of securities without an ISIN code, in accordance with Part 7 of Chapter 1 of Annex I. This paragraph shall not apply to sectoral data reporting agents that are granted derogations under Articles 4 or 4b.]

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[<sup>F39</sup> NCBs may obtain data on holdings of securities by ICs required to be reported under this Regulation from the following data collected under the framework established by Directive 2009/138/EC:

- a data contained in quantitative reporting templates for supervisory reporting transmitted to NCBs by NCAs, whether the NCB and the NCA are separately established or integrated within the same institution, in accordance with the terms of the cooperation arrangements between the two bodies; or
- b data contained in quantitative reporting templates for supervisory reporting, as transmitted by reporting agents directly and simultaneously to an NCB and an NCA.

10 Where a quantitative reporting template for supervisory reporting contains data needed to fulfil the statistical reporting requirements for ICs under this Regulation, NCBs shall have access to the entire template in order to ensure data quality.

11 Member States may establish cooperation arrangements to provide for centralised collection by the relevant NCA of information covering both the data collection requirements under the framework established by Directive 2009/138/EC and the additional data collection requirements laid down in this Regulation, in accordance with national law and harmonised terms of reference as may be defined by the ECB.]

[<sup>F512</sup> The relevant NCB shall request that, when an MFI reports security-by-security data on own holdings of securities with an ISIN in accordance with Article 3(1), it reports the flag ‘security issued by the holder’, as provided for in Part 2 of Chapter 1 of Annex I.

13 The relevant NCB may request that, when an MFI reports statistical information on own holdings of securities without an ISIN code in accordance with Article 3(6), it reports the flag ‘security issued by the holder’ as provided in Part 7 of Chapter 1 of Annex I.]

#### Textual Amendments

- F1** Substituted by [Regulation \(EU\) 2016/1384 of the European Central Bank of 2 August 2016 amending Regulation \(EU\) No 1011/2012 \(ECB/2012/24\) concerning statistics on holdings of securities \(ECB/2016/22\)](#).
- F2** Substituted by [Regulation \(EU\) 2015/730 of the European Central Bank of 16 April 2015 amending Regulation \(EU\) No 1011/2012 concerning statistics on holdings of securities \(ECB/2012/24\) \(ECB/2015/18\)](#).
- F3** Inserted by [Regulation \(EU\) 2015/730 of the European Central Bank of 16 April 2015 amending Regulation \(EU\) No 1011/2012 concerning statistics on holdings of securities \(ECB/2012/24\) \(ECB/2015/18\)](#).

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- F4** Deleted by [Regulation \(EU\) 2016/1384 of the European Central Bank of 2 August 2016 amending Regulation \(EU\) No 1011/2012 \(ECB/2012/24\) concerning statistics on holdings of securities \(ECB/2016/22\)](#).
- F5** Inserted by [Regulation \(EU\) 2016/1384 of the European Central Bank of 2 August 2016 amending Regulation \(EU\) No 1011/2012 \(ECB/2012/24\) concerning statistics on holdings of securities \(ECB/2016/22\)](#).

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

- [Regulation revoked by S.I. 2021/1300 Sch. 1 para. 66](#)