
Changes to legislation: Commission Implementing Regulation (EU) No 1030/2014 is up to date with all changes known to be in force on or before 10 September 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) EUR 2014 No. 1030 may be subject to amendment by EU Exit Instruments made by both the Prudential Regulation Authority and the Financial Conduct Authority under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 4. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details) View outstanding changes

Commission Implementing Regulation (EU) No 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 (Text with EEA relevance)

COMMISSION IMPLEMENTING REGULATION (EU) No 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

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012⁽¹⁾, and in particular the third subparagraph of Article 441(2) thereof,

Whereas:

- (1) In order to help ensure global consistency in disclosure and transparency in the process of identification of global systemically important institutions (G-SIIs), those institutions are required to publicly disclose indicator values used in that process.
- (2) The disclosure templates used by institutions identified as G-SIIs in accordance with Article 131 of Directive 2013/36/EU of the European Parliament and of the Council⁽²⁾ should take into account international standards, particularly those issued by the Basel Committee on Banking Supervision.
- (3) In order to ensure consistency and comparability of the collected information, the reporting reference date should be set to coincide with an institution's financial year-end figures of the previous year or any other date agreed with its relevant authority.
- (4) With a view to facilitating public access to the disclosed information, and seeing that data from all Member States are needed to perform the identification process, the European Banking Authority (EBA) should collect each institution's information and publish it on its website.
- (5) This Regulation is based on the draft implementing technical standards submitted by the EBA to the Commission.

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- (6) The EBA has conducted open public consultations on the draft implementing technical standards on which this Regulation is based, analysed the potential related costs and benefits and requested the opinion of the Banking Stakeholder Group established in accordance with Article 37 of Regulation (EU) No 1093/2010 of the European Parliament and of the Council⁽³⁾,

HAS ADOPTED THIS REGULATION:

Modifications etc. (not altering text)

- C1** The “appropriate regulator” has power to make such provision as they consider appropriate by means of an instrument in writing to prevent, remedy or mitigate any failure of the provisions of this Regulation to operate effectively or any other deficiency arising from the withdrawal of the United Kingdom from the EU, see The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), [regs. 2, 3, Sch. Pt. 4](#) (with saving on IP completion day by S.I. 2019/680, [regs. 1\(2\), 11](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#))
- C2** Regulation: power to modify conferred (11.7.2023) by [Financial Services and Markets Act 2023](#) (c. 29), [ss. 3, 86\(3\)](#), [Sch. 1 Pts. 1, 3](#); S.I. 2023/779, [reg. 2\(d\)](#)

^{F1}Article 1

Uniform format

G-SIIs shall report the information used to identify G-SIIs (indicators, ancillary data and memorandum items) to the relevant authority in electronic format using the template in the Annex to this Regulation, taking into consideration the further specifications of the underlying data and the instructions issued by the relevant authority each year. By using that template and taking into consideration these specifications and instructions, G-SIIs shall publicly disclose the values of the indicators used for determining the score of the institutions in accordance with the identification methodology set out in Regulation (EU) No 1222/2014.

G-SIIs shall not be bound to disclose publicly the ancillary data and memorandum items.]

Textual Amendments

- F1** Substituted by [Commission Implementing Regulation \(EU\) 2016/818 of 17 May 2016 amending Implementing Regulation \(EU\) No 1030/2014 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 \(Text with EEA relevance\).](#)

Article 2

Date of disclosure

G-SIIs shall publicly disclose the financial year-end information referred to in Article 1 no later than four months after each financial year-end.

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Article 3

Disclosure location

Institutions may publicly disclose the values of the indicators specified in the template set out in the Annex to this Regulation in the medium they determine to disclose the information required by Part Eight of Regulation (EU) No 575/2013 in accordance with Article 434 of that Regulation.

Where the disclosures of the values of the indicators are not included in the medium referred to in the first paragraph, the G-SII shall provide a direct reference to the completed disclosures on the institution's website or to the medium in which they are made available.

[^{F1}Without undue delay, following the disclosure of that information by the G-SIIs, relevant authorities shall send those completed templates, including the ancillary data and the memorandum items, to the EBA. The EBA shall disclose the completed template, excluding the ancillary data and the memorandum items, on its website for centralisation purposes.]

Textual Amendments

- F1** Substituted by [Commission Implementing Regulation \(EU\) 2016/818 of 17 May 2016 amending Implementing Regulation \(EU\) No 1030/2014 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 \(Text with EEA relevance\).](#)

Article 4

This Regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

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TEMPLATE FOR THE IDENTIFICATION OF GLOBAL SYSTEMICALLY IMPORTANT INSTITUTIONS (G-SIIs)

General Bank Data

Section 1: General Information	
a.	General information provided by the relevant supervisory authority:
(1)	Country code
(2)	Bank name
(3)	Reporting date (yyyy-mm-dd)
(4)	Reporting currency
b.	General Information provided by the reporting institution:
(1)	Reporting unit
(2)	Accounting Standard
(3)	Date of public disclosure (yyyy-mm-dd)
(4)	Language of public disclosure
(5)	Web address of public disclosure

Size Indicator

Section 2: Total Exposures	Amount
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Interconnectedness Indicators

Section 3: Intra-Financial System Assets	Amount
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Section 4: Intra-Financial System Liabilities	Amount
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Section 5: Securities Outstanding	Amount
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Substitutability/Financial Institution Infrastructure Indicators

ANNEX

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Section 6: Payments made in the reporting year (excluding intragroup payments)	Amount
Section 7: Assets Under Custody	Amount
Section 8: Underwritten Transactions in Debt and Equity Markets	Amount

Complexity Indicators

Section 9: Notional Amount of Over-the-Counter (OTC) Derivatives	Amount
Section 10: Trading and Available-for-Sale Securities	Amount
Section 11: Level 3 Assets	Amount

Cross-Jurisdictional Activity Indicators

Section 12: Cross-Jurisdictional Claims	Amount
Section 13: Cross-Jurisdictional Liabilities	Amount

Ancillary data

Section 14: Ancillary indicators	Amount
Section 15: Ancillary items	Amount

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- (1) [OJ L 176, 27.6.2013, p. 1](#)
 - (2) Directive 2013/36/EU of the European Parliament and of the Council of 26 June 2013 on access to the activity of credit institutions and the prudential supervision of credit institutions and investment firms, amending Directive 2002/87/EC and repealing Directives 2006/48/EC and 2006/49/EC ([OJ L 176, 27.6.2013, p. 338](#)).
 - (3) 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](#)).

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Changes and effects yet to be applied to :

- Regulation revoked by [2023 c. 29 Sch. 1 Pt. 13](#)

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

- Pt. 2 revoked by [S.I. 2021/1078 reg. 13\(2\)\(b\)](#) (This amendment not applied to [legislation.gov.uk](#). The affected provision Pt. 2 (PRA) was modified by a non-legislative instrument (Technical Standards (Capital Requirements) (EU Exit) (No.3) Instrument 2019) and is not present in the text of the retained EU legislation on [legislation.gov.uk](#). Details of the non-legislative modifications can be found on the Bank of England's website on the page entitled "The Bank of England's amendments to financial services legislation under the European Union (Withdrawal) Act 2018".)