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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 ^{M1}.

Marginal Citations

M1 OJ L153, 10.6.2016, p.25.

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 ^{M2}.

Marginal Citations

M2 OJ L184, 8.7.2016. p.1.

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 ^{M3}.

Marginal Citations

M3 OJ L148, 20.5.2014, p.6.

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 ^{M4}.

Marginal Citations

M4 OJ L148, 20.5.2014, p.21.

Status: Point in time view as at 26/10/2018.

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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 ^{M5}.

Marginal Citations

M5 OJ L148, 20.5.2014, p.50.

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 ^{M6}.

Marginal Citations

M6 OJ L167, 6.6.2014, p.30.

130. Commission Implementing Regulation (EU) 620/2014 of 4 June 2014 laying down implementing technical standards with regard to information exchange between competent authorities of home and host Member States, according to Directive 2013/36/EU of the European Parliament and of the Council ^{M7}.

Marginal Citations

M7 OJ L172, 12.6.2014, p.1.

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 ^{M8}.

Marginal Citations

M8 OJ L185, 25.6.2014, p.1.

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 ^{M9}.

Marginal Citations

M9 OJ L188, 27.6.2014, p.19.

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 ^{M10}.

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Marginal Citations

M10 OJ L254, 28.8.2014, p.2.

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 ^{M10}.

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Marginal Citations

M11 OJ L309, 30.10.2014, p.1.

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 ^{M11}.

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Marginal Citations

M12 OJ L309, 30.10.2014, p.5.

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 ^{M12}.

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Marginal Citations

M13 OJ L21, 28.1.2016, p.2.

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 ^{M13}.

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Marginal Citations

M14 OJ L21, 28.1.2016, p.21.

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 ^{M14}.

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Marginal Citations

M15 OJ L328, 2.12.2016, p.1.

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Changes to legislation: The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018, PART 4 is up to date with all changes known to be in force on or before 07 July 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)

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 ^{M16}.

Marginal Citations

M16 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 ^{M17}.

Marginal Citations

M17 OJ L72, 17.3.2017, p.57.

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 ^{M18}.

Marginal Citations

M18 OJ L355, 31.12.2013, p.60.

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 ^{M19}.

Marginal Citations

M19 OJ L57, 27.2.2014, p.3.

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 ^{M20}.

Marginal Citations

M20 OJ L74, 14.3.2014, p.8.

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 ^{M21}.

Status: Point in time view as at 26/10/2018.

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Marginal Citations

M21 OJ L148, 20.5.2014, p.4.

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 ^{M22}.

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Marginal Citations

M22 OJ L148, 20.5.2014, p.15.

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 ^{M23}.

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Marginal Citations

M23 OJ L148, 20.5.2014, p.17.

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 ^{M24}.

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Marginal Citations

M24 OJ L148, 20.5.2014, p.29.

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 ^{M25}.

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Marginal Citations

M25 OJ L148, 20.5.2014, p.36.

149. Commission Implementing Regulation (EU) 2014/602 of 4 June 2014 laying down implementing technical standards for facilitating the convergence of supervisory practices with regard to the implementation of additional risk weights according to Regulation (EU) No 575/2013 of the European Parliament and of the Council ^{M26}.

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Marginal Citations

M26 OJ L166, 5.6.2014, p.22.

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

Status: Point in time view as at 26/10/2018.

Changes to legislation: The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018, PART 4 is up to date with all changes known to be in force on or before 07 July 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)

technical standards specifying the requirements for investor, sponsor, original lenders and originator institutions relating to exposures to transferred credit risk ^{M27}.

Marginal Citations

M27 OJ L174, 13.6.2014, p.16.

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 ^{M28}.

Marginal Citations

M28 OJ L191, 28.6.2014, p.1.

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 ^{M29}.

Marginal Citations

M29 OJ L265, 5.9.2014, p.3.

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 ^{M30}.

Marginal Citations

M30 OJ L284, 30.9.2014, p.14.

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 ^{M31}.

Marginal Citations

M31 OJ L324, 7.11.2014, p.1.

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 ^{M32}.

Marginal Citations

M32 OJ L98, 15.4.2015, p.1.

Status: Point in time view as at 26/10/2018.

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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

^{M33}.

Marginal Citations

M33 OJ L244, 19.9.2015, p.1.

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 ^{M34}.

Marginal Citations

M34 OJ L244, 19.9.2015, p.9.

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 ^{M35}.

Marginal Citations

M35 OJ L313, 28.11.2015, p.30.

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 for certain prudential permissions pursuant to Regulation (EU) No 575/2013 of the European Parliament and of the Council ^{M36}.

Marginal Citations

M36 OJ L21, 28.1.2016, p.45.

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) ^{M37}.

Marginal Citations

M37 OJ L21, 28.1.2016, p.54.

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 ^{M38}.

Status: Point in time view as at 26/10/2018.

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Marginal Citations

M38 OJ L39, 16.2.2016, p.5.

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 ^{M39}.

Marginal Citations

M39 OJ L245, 14.9.2016, p.5.

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 ^{M40}.

Marginal Citations

M40 OJ L275, 12.10.2016, p.3.

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 ^{M41}.

Marginal Citations

M41 OJ L275, 12.10.2016, p.27.

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 ^{M42}.

Marginal Citations

M42 OJ L10, 14.1.2017, p.1.

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 ^{M43}.

Marginal Citations

M43 OJ L329, 13.12.2017, p.6.

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. ^{M44}

Status: Point in time view as at 26/10/2018.

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Marginal Citations

M44 OJ L32, 6.2.2018, p.1.

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 ^{M45}.

Marginal Citations

M45 OJ L123, 18.5.2018, p.1.

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, 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 ^{M46}.

Marginal Citations

M46 OJ L3440, 15.12.2016, p.9.

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 ^{M47}.

Marginal Citations

M47 OJ L100, 3.4.2014, p.1.

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 ^{M48}.

Marginal Citations

M48 OJ L326, 11.12.2015, p.34.

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

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standards specifying the organisational requirements of investment firms engaged in algorithmic trading ^{M49}.

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Marginal Citations

M49 OJ L87, 31.3.2017, p.417.

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 ^{M50}.

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Marginal Citations

M50 OJ L276, 26.10.2017, p.22.

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 ^{M51}.

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Marginal Citations

M51 OJ L276, 26.10.2017, p.32.

Status:

Point in time view as at 26/10/2018.

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