

ADDITIONAL SUPERVISORY DATA REQUESTS PER 25 FEBRUARY 2019									
Subject	Organisation	Target group	Scope of data to be submitted	Frequency	Reference date of data	Release date of request	Deadline banks	Explanation	Further information
<b>Semi recurring requests</b>									
<b>Additional reporting EEA branches</b>	DNB	Non SI EEA Branches	Two extra tabs in FINREP: Retaildeposits and Assets under Management.	Annually	31-12-2018	Feb 2019 (To be confirmed)	March 2019 (To be confirmed)	Information is used to determine the classification of the branch offices.	Relevant branches will be contacted by email.
<b>Article 23 LCR DA qualitative request</b>	DNB	All LSIs who are not direct subsidiaries of SI's and that have reported LCR outflows under art 23	Requesting explanations for products and outflow percentages reported in Corep C 73.00 (on consolidated level).	Annually	Monthly data; To be determined	15-9-2019	15-10-2019	Information is used to report to EBA - the outflow percentages that the banks have applied.	See Article 23(2) of the LCR delegated act. <a href="#">Click here</a>
<b>Basel III Monitoring QIS (Quantative Impact Study)</b>	BCBS	Selected SI and LSI banks	Excel templates with data on the impact of the implementation of new BCBS policy frameworks. Two sets of modules: one stable set focusing on the medium/long-term policy phase-in, and one varying set of modules with the focus on more short-term policy impacts.	Semi-annually	31-12-2018	15-02-2019 (To be confirmed)	5-4-2019	Worldwide Basel III impact and implementation tracking study on voluntary basis. Objective is to analyse the impact of Basel 3.5 on the European banking sector and economy	For extra information on the BIS website: <a href="#">Click here</a> Selected banks will be contacted by DNB.
<b>BCS reporting</b>	DNB	Investment firms and banks with license for investment services	Excel template collecting data about assets under management on behalf of non-professional investors	Annual	31-12-2018	nov-18	End March 2019	Information is used to: 1) improve data quality of the reporting, 2) get a better insight into the amount covered by the BCS, and 3) for policy development.	The BCS template will be updated. Institutions in scope of the BCS will be notified about the new reporting before publication
<b>Central Securities Depositories Regulation article 9</b>	ESMA	Settlement internalisers	Settlement of securities transactions settled outside securities settlement systems	Quarterly	End of last quarter	25-01-2019 To be determined	12-07-2019 (definitive deadline to be decided)	Analysis of any potential risk resulting from internalised settlements	See ITS(EU) 2017/393 and RTS(EU) 2017/391. For extra information on the EBA website: <a href="https://www.esma.europa.eu/regulation/post-trading/settlement">https://www.esma.europa.eu/regulation/post-trading/settlement</a>
<b>Credit valuation adjustment (CVA) risk monitoring exercise</b>	EBA	Based on EBA's list of EU institutions for which the EBA receives COREP submissions - <a href="#">click here</a>	Transactions exempted from CVA risk in line with policy recommendation No4 made in the CVA Report.	Annually	Refer to the further information.	29-6-2018	28-02-2019 (also see explanation)	The collected data will be used for the 2019 monitoring exercise of the impact transactions exempted from the CVA risk charge and assessing the impact of the revised international standards on CVA risk. 19-Sep-2018 (positions booked in system) 26-Sep-2018 (IMV determination) 05-Oct-2018 (Submission of IMV and explanatory documents to DNB) 21-Jan-2019 – 01-Feb-2019 (Risk measure monitoring period) 28-Feb-2019 (submission of Risk measure/Present value data to DNB)	For extra information on the EBA website: <a href="#">Click here</a>
<b>EBA Stress test</b>	EBA	SI's	Banks have to calculate the impact of two scenarios on the capital position: a baseline scenario and an adverse scenario.	Biannually	2020 (To be confirmed)	2020 (To be confirmed)	2020 (To be confirmed)	The stress test is designed to provide supervisors, banks and other market participants with a common analytical framework to consistently compare and assess the resilience of EU banks to economic shocks.	Fore more information on the EBA website: <a href="#">Click here</a>
<b>EBA Transparency Exercise</b>	EBA	SI's	The EU-wide transparency exercise provides detailed bank-by-bank data on capital positions, risk exposure amounts and asset quality.	Annually	31-12-2018 30-06-2019	September 2019 (To be confirmed)	October 2019 (To be confirmed)	The EBA aims to promote a greater understanding of capital positions and exposures in the EU banking sector and foster market discipline across the Single Market.	See the EBA website (also for the templates): <a href="#">click here</a>
<b>G-SIB assessment exercise</b>	BCBS/ EBA	All banks with a leverage ratio exposure measure exceeding 200 billion euros.	Excel sheet has been slightly changed compared to last year. For more information on the templates and the 12 indicators <a href="#">Click here</a>	Annually	31-12-2018	January 2019 (To be confirmed)	May 2019 (To be confirmed)	The Basel Committee on Banking Supervision is conducting this data collection exercise as input into the methodology to assess the systemic importance of banks in a global context. The 12 indicators are aggregated and used to calculate the scores of banks in the sample. Banks above a cut-off score are identified as G-SIBs and are allocated to buckets that will be used to determine their higher loss absorbency requirement.	See Commission Delegated Regulation (EU) No 1222/2014, Article 5 and Article 131(12) of Directive 2013/36/EU. For extra information on the BIS website: <a href="#">Click here</a>

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<b>Integrity Risk Questionnaire</b>	DNB	License banks and branches SI's and LSI's	Questionnaire on objective data regarding international presence, client business and transactions in high risk countries.	Annually	2018	Q2 2019	End May 2019	This questionnaire will help DNB to execute Anti Money Laundering and Counter Finance Terrorism supervision (AML/CFT).	See FATF Recommendations 2012.
<b>Liability Data Report</b>	SRB	SRB banks (SI's and cross-border institutions)	Data on liability structure for Relevant Legal Entities (RLE) on solo and/or sub-consolidated level and at group consolidated level (XBRL based).	Annually	31-12-2018	01-12-2018 (To be confirmed)	17-3-2019	The Liability Data Report is used for drawing up, maintaining and implementing resolution plans and for MREL purposes.	See BRRD and SRMR, articles 1 and 2. For information on SRB website: <a href="#">Click here</a>
<b>Questionnaire on diversity policy &amp; practices</b>	DNB	Selected SI and LSI banks, investment firms	Data on diversity policies and practices	Every 3 years	30-9-2018	November/December 2018 (To be confirmed)	31-1-2019	Diversity policy & practices	Relevant institutions will be contacted by email.
<b>Remuneration Benchmarking</b>	EBA	Selected SI banks	Data in addition to remuneration for high earners to be able to benchmark banks for similar functions and business areas. DLR will replace e-Line.	Annually	2018	May 2019 (To be confirmed)	June 2019 (To be confirmed)	Data collection aimed at gaining an understanding of the trends in remuneration practices.	See Article 75 of Directive 2013/36/EC (CRDIV). For extra information on the EBA website: <a href="#">Click here</a>
<b>Remuneration of high earners</b>	EBA	All banks	Data on the number of natural persons earning EUR 1 million or more per financial year. DLR will replace e-Line.	Annually	2018	May 2019 (To be confirmed)	June 2019 (To be confirmed)	EBA yearly collects various remuneration data on high earners to gain insight into the number of high earners per European country and in remuneration levels across countries.	See Article 75 of Directive 2013/36/EC (CRDIV). For extra information on the EBA website: <a href="#">Click here</a>
<b>Resolution requests</b>	SRB / EBA / DNB	All banks	Resolution data are collected to draft resolution plans. There are templates from SRB, EBA and DNB, requested at different times of the year.	Annually	Depends on the request.	Depends on the request.	Depends on the request.	SRB templates consists of a) an FMI report - which provides a reasonably detailed overview of banks' participation in FMIs b) a Critical Functions report - which aims at guiding institutions through the self-assessment for defining critical functions. EBA templates request the minimum information needed for resolution planning. DNB templates incorporate data to meet the objectives set out in the chapters of the manual in order to make a full BRRD compliant Resolution plan.	SRB templates can be found at <a href="https://srb.europa.eu/en/content/fmi-report">https://srb.europa.eu/en/content/fmi-report</a> EBA templates can be found at <a href="https://www.eba.europa.eu/-/eba-consults-on-procedures-forms-and-templates-for-resolution-planning">https://www.eba.europa.eu/-/eba-consults-on-procedures-forms-and-templates-for-resolution-planning</a> DNB templates are sent via email.
<b>Risk Assessment Questionnaire</b>	EBA	Selected SI's	Qualitative questionnaire on the bank's opinion regarding the main risks and vulnerabilities in the EU banking sector.	Semi-annually	-	April/September	May/October	The EBA conducts semi-annual Risk Assessment Questionnaires (RAQs) among banks and market analysts. The RAQ results are published together with the EBA's quarterly Risk Dashboard and will be used for the yearly Risk Assessment Report (see <a href="https://www.eba.europa.eu/risk-analysis-and-data/risk-dashboard">https://www.eba.europa.eu/risk-analysis-and-data/risk-dashboard</a> and <a href="https://www.eba.europa.eu/risk-analysis-and-data/risk-assessment-reports">https://www.eba.europa.eu/risk-analysis-and-data/risk-assessment-reports</a> )	Banks in scope are contacted by email.
<b>SREP Irrevocable payment commitments</b>	ECB	SI's	Specific information from banks with regard to irrevocable payment commitments, to resolution funds and the deposit guarantee schemes.	Annually (possible)	-	To be decided	To be decided	Supervisory measures resulting from the application of supervisory powers under Article 104(1)(d) of Directive 2013/36/EU	Banks in scope are contacted by email.
<b>Data submission request for SREP/RAS STE</b>	ECB/ DNB	Already selected banks.	Additional data for SREP/RAS will be gathered as part of the STE data collection, the data must be submitted to the ECB at the same time as the quarterly ITS data submission. DNB will ask the banks to submit this data two weeks before the deadline as part of the ITS verification process.	Quarterly	30-09-2018 and 31-12-2018	Four to five weeks before the deadline	12-11-2018 and 11-02-2019	The Short Term Exercise was initiated in order to complement ITS data needed for the SREP. Some components of the STE will become part of the regular ITS data request and will therefore no longer be requested in the context of the STE.	Mail send via Supervisory request mailbox. Data submission by DLR
<b>Single Resolution Fund Report</b>	SRB	All banks	Data about the risk profile of the institution is collected on individual level - in an excel template (XBRL based).	Annually	31-12-2017	15-12-2018	January 2019	Data used by SRB to calculate the contribution per institution to Single Resolution Fund. The Single Resolution Fund enables effective implementation of resolution instruments.	See the SRB-website for more information: <a href="https://srb.europa.eu/en/content/single-resolution-fund">https://srb.europa.eu/en/content/single-resolution-fund</a>
<b>Supervisory fees</b>	ECB	All banks except non EEA branches	The supervisory fee is the amount each supervised bank pays annually to the ECB to finance the ECB's costs related to supervisory tasks and responsibilities. Less significant banks are directly supervised by their relevant national supervisor and therefore pay a lower supervisory fee to the ECB.	Annually	2018	May 2019	1-7-2019	The ECB is responsible for the effective and consistent functioning of the Single Supervisory Mechanism in its entirety, i.e. of the significant banks that it directly supervises and of the less significant banks that it indirectly supervises. All supervised banks are therefore obliged to pay.	See the ECB website: <a href="#">Click here</a>

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<b>Triennial Derivatives</b>	BIS	Selected banks	Triennial Derivatives: turnover in foreign exchange spot markets, as well as foreign exchange and interest rate OTC derivatives markets.	Triennial	April 2019	1-11-2018	Mid-June 2019		Banks in scope are informed.
<b>Ad hoc requests</b>									
<b>Basel III Monitoring – Call for Advice Qualitative Questionnaire</b>	EBA	Selected SI and LSI banks	Questionnaire on the impact of the proposed Basel 3.5 reforms. Questions are mostly closed-form and supplementary to the Basel III QIS data requested.	-	Not applicable	13-11-2018	10-1-2019	The questionnaire aims to provide EBA with qualitative input to respond to the European Commission's Call for Advice on Basel 3.5.	Banks in scope will be contacted by e-mail with instructions.
<b>EBA market risk benchmarking exercise [NEW]</b>	ECB	Selected IRB SI banks	Collecting present values (PV's) as part of the 2019 risk metrics submission	-	January 2019	4-3-2019	End March 2019	Annex 5 of ITS EBA benchmarking exercise requires institutions to submit the PV for each portfolio over a 10 day period.	Banks in scope will be contacted by e-mail and are asked to fill in an excel template.
<b>Disclaimer: This overview is based on available information as per 25 February 2019</b>									