



EBA/GL/2014/05 Appendix 1

---

07 July 2014 – Updated 9 October  
2015

---

GL/2014/05 + Appendix 1

---

## Compliance Table - Guidelines

---

Based on information supplied by them, the following competent authorities comply or intend to comply with: EBA Guidelines – EBA/GL/2014/05 on Guidelines on Significant Credit Risk Transfer – published on 7<sup>th</sup> July 2014.

| Member State |                | Competent authority  | Complies or intends to comply | Comments   |
|--------------|----------------|--|-------------------------------|--|
| BE           | Belgium        | National Bank of Belgium   | Yes                           |  |
| BG           | Bulgaria       | Българска народна банка (Bulgarian National Bank)  | Yes                           |  |
| CZ           | Czech Republic | Česká Národní Banka (Czech National Bank)  | Yes                           |  |
| DK           | Denmark        | Finanstilsynet (Danish Financial Supervisory Authority)                                  | Yes                           |  |
| DE           | Germany        | Bundesanstalt für Finanzdienstleistungsufsicht (Federal Financial Supervisory Authority) | Yes                           |  |
| EE           | Estonia        | Finantsinspektsioon (Financial Supervision Authority)                                    | Yes                           |  |
| IE           | Ireland        | Central Bank of Ireland  | Yes                           |  |
| EL           | Greece         | Τράπεζα της Ελλάδος (Bank of Greece)   | Yes                           |  |
| HR           | Croatia        | National Bank of Croatia   | No                            | Credit institutions in Croatia are not involved in the securitisation transactions so far. |

| Member State |            | Competent authority  | Complies or intends to comply | Comments |
|--------------|------------|--|-------------------------------|----------|
| ES           | Spain      | Banco de España (Bank of Spain)  | Yes                           |          |
| FR           | France     | Autorité de Contrôle Prudentiel et de Résolution (Prudential Supervisory & Resolution Authority)     | Yes                           |          |
| IT           | Italy      | Banca d'Italia (Bank of Italy)   | Yes                           |          |
| CY           | Cyprus     | Κεντρική Τράπεζα της Κύπρου (Central Bank of Cyprus)   | Yes                           |          |
| LV           | Latvia     | Finanšu un Kapitāla tirgus Komisija (Financial and Capital Market Commission)                        | Yes                           |          |
| LT           | Lithuania  | Lietuvos Bankas (Bank of Lithuania)  | Yes                           |          |
| LU           | Luxembourg | Commission de Surveillance du Secteur Financier (Commission for the Supervision of Financial Sector) | Yes                           |          |
| HU           | Hungary    | Magyar Nemzeti Bank (National Bank of Hungary)   | Yes                           |          |

| Member State |             | Competent authority  | Complies or intends to comply | Comments   |
|--------------|-------------|--|-------------------------------|--|
|              |             | Hungary)   |                               |  |
| MT           | Malta       | Malta Financial Services Authority                                   | Yes                           | Updated – 09.10.2015   |
| NL           | Netherlands | De Nederlandsche Bank (National Bank of Netherlands)                 | Yes                           |  |
| AT           | Austria     | Finanzmarktaufsicht (Financial Market Authority)                     | Yes                           |  |
| PL           | Poland      | Komisja Nadzoru Finansowego (Polish Financial Supervision Authority) | Yes                           | Within the current legal framework in relation to investment firms |
| PT           | Portugal    | Banco de Portugal (Bank of Portugal)                                 | Yes                           |  |
| RO           | Romania     | Banca Națională a României (National Bank of Romania)                | Yes                           |  |
| SI           | Slovenia    | Banka Slovenije (Bank of Slovenia)                                   | Yes                           |  |
| SK           | Slovakia    | Národná Banka Slovenska (National Bank of Slovakia)                  | No response                   | The CA failed to provide the notification of compliance            |

| Member State          |                | Competent authority   | Complies or intends to comply | Comments   |
|-----------------------|----------------|---|-------------------------------|--|
| FI                    | Finland        | Finanssivalvonta<br>(Finnish Financial Supervisory Authority)           | Yes                           |  |
| SE                    | Sweden         | Finansinspektionen<br>(Swedish Financial Supervisory Authority)         | Yes                           |  |
| UK                    | United Kingdom | Prudential Regulation Authority (Bank of England)/PRA                   | Yes                           |  |
|                       |                | Financial Conduct Authorities (FCA)                                     | Yes                           |  |
|                       |                | Financial Services Commission (Gibraltar)                               | Yes                           |  |
| <b>EEA-EFTA State</b> |                |   |                               |  |
| IS                    | Iceland        | Fjármálaeftirlitið<br>(Icelandic Financial Supervisory Authority - FME) | Partial                       | Regulation (EU) No 1093/2010 is yet to be incorporated into the EEA Agreement, due to a constitutional interpretation according to which, all three ESA's regulations cannot be implemented into Icelandic law. According to this interpretation the powers granted to EBA, as well as EIOPA and ESMA, are in breach with provisions in the Icelandic constitution, and the EEA Agreement does not allow for such interference with the Icelandic state's sovereignty. Until the EBA regulation has been implemented into Icelandic law, the Financial Supervisory Authority, Iceland is under no legal obligation to publish EBA's guidelines or comply with them. Until this situation has been resolved, the Financial Supervisory Authority, Iceland will consider, with regard to each separate guideline, whether it will comply on a voluntary basis. |

| Member State |               | Competent authority  | Complies or intends to comply | Comments  |
|--------------|---------------|--|-------------------------------|---|
| LI           | Liechtenstein | Finanzmarktaufsicht - FMA (Financial Market Authority)     | Yes                           | <p>The Financial Market Authority Liechtenstein (FMA) as the competent authority in charge of the national implementation of financial market related regulations acknowledges the publication of these Guidelines (EBA/GL/2014/05).</p> <p>Currently, Liechtenstein is only admitted to the Board of Supervisors as observer and is not vested with any voting rights under the EBA Regulation No. 1093/2010. Nevertheless, the FMA will comply with these Guidelines (EBA/GL/2014/05) considering the time frame of the CRD IV/CRR legislation in Liechtenstein. Currently, there exists no legal act concerning securitisation for credit institutions besides the European regulation in Liechtenstein.</p> |
| NO           | Norway        | Finanstilsynet (Norwegian Financial Supervisory Authority) | Yes                           | Response dated 08/07/2015   |

## Notes

Article 16(3) of the EBA Regulation requires national competent authorities to inform us whether they comply or intend to comply with each guideline or recommendation we issue. If a competent authority does not comply or does not intend to comply it must inform us of the reasons. We decide on a case by case basis whether to publish reasons.

The EBA endeavours to ensure the accuracy of this document, however, the information is provided by the competent authorities and, as such, the EBA cannot accept responsibility for its contents or any reliance placed on it.

For further information on the current position of any competent authority, please contact that competent authority. Contact details can be obtained from our website ([www.eba.europa.eu](http://www.eba.europa.eu)).