

# Guidelines compliance table

EBA/GL/2016/03 Appendix 1

19/09/2016 – Updated 30 January 2021

## Guidelines on the provision of information in summary or collective form for the purposes of Article 84(3) of Directive 2014/59/EU

The following competent authorities\* comply or intend to comply with the EBA's Guidelines on the provision of information in summary or collective form:

Member State	Competent authority	Complies or intends to comply	Comments
BE	National Bank of Belgium	Yes	As at 09.08.2016, notification date.
BG	Българска народна банка (Bulgarian National Bank) for Competent Authority	Yes	As at 14.09.2016, notification date.
	Българска народна банка (Bulgarian National Bank) for Resolution Authority	Yes	As at 14.09.2016, notification date.
CZ	Česká Národní Banka (Czech National Bank)	Yes	As at 25.08.2016, notification date.
DK	The Danish Financial Stability Company and the Danish Financial Supervisory Authority	Yes	As at 30.08.2016, notification date.
DE	FMSA (Federal Agency for Financial Market Stabilization)	Yes	As at 16.09.2016, notification date.

		Competent authority	Complies or intends to comply	Comments
		Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes	As at 13.09.2016, notification date.
EE	Estonia	<i>Finantsinspeksioon (Financial Supervision Authority)</i>	Yes	As at 14.09.2016, notification date.
IE	Ireland	Central Bank of Ireland	Yes	As at 08.09.2016, notification date.
		Irish National Resolution Authority (Central Bank of Ireland)	Yes	As at 02.09.2016, notification date.
EL	Greece	Τράπεζα της Ελλάδος (Bank of Greece)	Yes	As at 07.03.2019, notification date.
		Hellenic Capital Market Commission	Yes	As at 19.09.2016, notification date.
HR	Croatia	Ministry of Finance	Intends to comply**	By 19.01.2017.
ES	Spain	Comision Nacional Del Mercado De Valores (CNMV) – as preventative resolution authority for investment firms	Yes	As at 16.01.2019, notification date. In 2015, the Spanish Government in order to adopt the Directive 2014/59/EU of the European Parliament and of The Council approved the following law which fully complies with the GL on provision of info in summary or collective: • Law 11/2015 on the recovery and resolution of credit institutions and investment firms. <a href="https://www.boe.es/buscar/pdf/2015/BOE-A-2015-6789-consolidado.pdf">https://www.boe.es/buscar/pdf/2015/BOE-A-2015-6789-consolidado.pdf</a> • Moreover, CNMV published on its official website the guidelines adopted by EBA. <a href="http://www.cnmv.es/Portal/Gpage.aspx?id=LegESMA">http://www.cnmv.es/Portal/Gpage.aspx?id=LegESMA</a>
		Banco de España (as both supervisory competent authority and preventative resolution authority)	Yes	As at 19.09.2016, notification date. Note email 15.11.2016: With regards to CNMV and FROB, you should contact directly with them for further information. The notification with regards EBA Guidelines is independent and each

		Competent authority	Complies or intends to comply	Comments
				authority sends its own notifications.
		FROB Executive Resolution Authority	Yes	As at 21.09.2016, notification date.
FR	France	Autorité de Contrôle Prudentiel et de Résolution (Prudential Supervisory & Resolution Authority)	Yes	As at 15.09.2016, notification date.
IT	Italy	Banca d'Italia (Bank of Italy)	Yes	<p>As at 18.11.2020, notification date. Compliance with the GL is ensured via the national handbook on crisis management and resolution recently finalized that provides an operational description of the resolution processes to be implemented by the Resolution Unit of the Bank of Italy both for SIs and LSIs in case of resolution.</p> <p>The handbook is an internal document. It refers to and includes as annexes the SRB internal manuals on Crisis Governance and Resolution Planning and the Internal Arrangements implementing some provisions of the Cooperation Framework. However, in light of their specific status, these annexes are available on a need to know basis only to the Resolution Unit staff and are stored separately in a dedicated repository.</p>
CY	Cyprus	Κεντρική Τράπεζα της Κύπρου (Central Bank of Cyprus) (as Resolution Authority)	Yes	As at 19.09.2016, notification date
		Κεντρική Τράπεζα της Κύπρου (Central Bank of Cyprus) (as the Competent Authority)	Yes	As at 19.06.2016, notification date.
LV	Latvia	Finanšu un Kapitāla tirgus Komisija (Financial and Capital Market Commission)	Yes	As at 25.08.2016, notification date.

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
LT	Lithuania	Lietuvos Bankas (Bank of Lithuania)	<b>Yes</b>	As at 22.01.2019, notification date. Compliance with GL approve by 13 December 2016 Board of the Bank of Lithuania Resolution No V 2016/(22.1.E-2200)-265E-23
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	<b>Yes</b>	As at 05.02.2019, notification date.
HU	Hungary	Magyar Nemzeti Bank (Central Bank of Hungary)	<b>Yes</b>	As at 12.09.2016, notification date.
MT	Malta	Malta Financial Services Authority	<b>Intends to comply**</b>	By 31.12.2020.
NL	Netherlands	De Nederlandsche Bank (National Bank of Netherlands) – Competent Authority	<b>Yes</b>	As at 15.08.2016, notification date.
		De Nederlandsche Bank (National Bank of Netherlands) – Resolution Authority	<b>Yes</b>	As at 15.08.2016, notification date.
AT	Austria	Finanzmarktaufsicht (Financial Market Authority)	<b>Yes</b>	As at 02.09.2016, notification date.
PL	Poland	Komisja Nadzoru Finansowego (Polish Financial Supervision Authority)	<b>Yes</b>	As at 15.02.2019, notification date.
		Banking Guarantee Fund (Bankowy Fundusz Gwarancyjny)	<b>Yes</b>	As at 01.04.2019, notification date.
PT	Portugal	Banco de Portugal (Bank of Portugal)	<b>Yes</b>	As at 05.02.2019, notification date.
RO	Romania	Banca Națională a României (National Bank of Romania)	<b>Yes</b>	As of 19.01.2017 (the date of publication by NBR of the relevant Instructions).
SI	Slovenia	Bank of Slovenia	<b>Yes</b>	As at 13.09.2016, notification date. The Bank of Slovenia makes decisions regarding the application of the guidelines and the

		Competent authority	Complies or intends to comply	Comments
				recommendations issued by the European Banking Authority. Decisions regarding the application of such guidelines or recommendations are published in the Official Gazette of the Republic of Slovenia. Bank of Slovenia complies with the guidelines at hand and a separate Bank of Slovenia Regulation on the use of the Guidelines on the provision of information in summary or collective form for the purposes of Article 84(3) of Directive 2014/59/EU was issued for this purpose.
SK	Slovakia	Národná Banka Slovenska (National Bank of Slovakia)	Yes	As at 09.09.2016, notification date
FI	Finland	Finanssivalvonta (FIN-FSA) (for Less Significant Institutions)	Yes	As at 18.01.2019, notification date. Regulations and guidelines 2/2015: <a href="https://www.finanssivalvonta.fi/en/regulation/FIN-FSA-regulations/miscellaneous-regulations-and-guidelines/02_2015/">https://www.finanssivalvonta.fi/en/regulation/FIN-FSA-regulations/miscellaneous-regulations-and-guidelines/02_2015/</a>
		Rahoitusvakausvirasto (Financial Stability Authority)	Yes	As at 14.02.2019, notification date.
SE	Sweden	Finansinspektionen (Swedish Financial Supervisory Authority)	Yes	As at 10.10.2016, notification date.

#### EU Institutions – Agencies

ECB	ECB	ECB	Yes	As at 14.09.2016, notification date. The ECB's intention to comply with the EBA Guidelines should be considered as operating within the limit of, and without prejudice to, national provisions implementing Directive 2013/36/EU.
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#### EEA – EFTA State

IS	Iceland	Fjármálaeftirlitið (Icelandic Financial	Intends to comply**	By such time as the necessary legislative or regulatory proceedings have been completed.
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		Competent authority	Complies or intends to comply	Comments
		Supervisory Authority - FME)		
LI	Liechtenstein	Finanzmarktaufsicht - FMA (Financial Market Authority)	Intends to comply**	By the date on which the BRRD incorporated into the EEA Agreement. The Guidelines refer to Directive 2014/49/EU (BRRD). The national BRRD legislation is already in force in the Principality of Liechtenstein. The BRRD has not yet been incorporated into the EEA Agreement. As soon as the BRRD is part of the EEA Agreement, the Financial Market Authority Liechtenstein will update its notifications regarding eh BRRD Level III-acts.
NO	Norway	Finanstilsynet (Norwegian Financial Supervisory Authority)	Yes*	As at 20.09.2019, notification date.

\*The EEA States other than the Member States of the European Union are not currently required to notify their compliance with the EBA's Guidelines. This table is based on information provided from those EEA States on a voluntary basis.

\*\* Please note that, in the interest of transparency, if a competent authority continues to intend to comply after the application date, it will be considered "non-compliant" unless (A) the Guidelines relate to a type of institution or instruments which do not currently exist in the jurisdiction concerned; or (B) legislative or regulatory proceedings have been initiated to bring any national measures necessary to comply with the Guidelines in force in the jurisdiction concerned.

## Notes

Article 16(3) of the EBA's Regulations 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 endeavour 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 the EBA's website [www.eba.europa.eu](http://www.eba.europa.eu).

