

Guidelines compliance table

EBA/GL/2017/15

14 November 2017; Date of application – 1 February 2019 (Updated 18 March 2021)

Guidelines on connected clients under Article 4(1)(39) of Regulation (EU) No 575/2013

The following competent authorities* comply or intend to comply with the EBA's Guidelines on Connected Clients:

Member State	Competent authority	Complies or intends to comply	Comments
BE	Belgium National Bank of Belgium	Yes	As at 05.02.2019, notification date. The National Bank of Belgium (NBB) is compliant with and has implemented these Guidelines into its supervision and has communicated this to the Belgian institutions via the circular letter NBB_2018_22, implementation date: January 1 st , 2019. The circular letter is published on the NBB's website (French and Dutch) : Link to French version: https://www.nbb.be/fr/articles/circulaire-nbb201822-orientations-de-labe-concernant-les-clients-lies-au-sens-de-larticle-4 Link to Dutch version: https://www.nbb.be/nl/artikels/circulaire-nbb201822-eba-richtsnoeren-voor-verbonden-clients-uit-hoofde-van-artikel-4-lid

		Competent authority	Complies or intends to comply	Comments
BG	Bulgaria	Българска народна банка (Bulgarian National Bank)	Yes	As at 20.09.2019, notification date. In accordance with Article 74a of the Law on Credit Institutions banks shall apply the EBA guidelines, recommendations concerning them and for which the BNB has announced it shall comply with in accordance with Article 79a, paragraph 1, item 2 of the same Law. https://www.bnb.bg/bnbweb/groups/public/documents/bnb_law/laws_creditinstitutions_en.pdf
CZ	Czech Republic	Czech National Bank	Yes	As at 05.02.2019, notification date.
DK	Denmark	Finanstilsynet (Danish Financial Supervisory Authority – DFSA)	Yes	As at 11.01.2019, notification date.
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes	As at 01.01.2019, notification date. (Implemented by means of circular: https://www.bafin.de/SharedDocs/Downloads/DE/Rundschreiben/dl_rs_1418_UmsetzungEBA.html?nn=9021442)
EE	Estonia	Finantsinspeksioon	Yes	As at 09.04.2018, notification date.
IE	Ireland	Central Bank of Ireland	Intends to comply**	As at 06.02.2019, notification date.
EL	Greece	Bank of Greece	Yes	As at 17.03.2021, notification date. Guidelines adopted with the Executive Committee Act of the Bank of Greece No. 178/3/2020.
HR	Croatia	Hrvatska narodna banka (Croatian National Bank)	Yes	As at 28.01.2019, notification date. Please be informed that national measure necessary for compliance with the Guidelines is: Odluka o velikim izloženostima kreditnih institucija (OG 111/2018) (available only in Croatian language) Link: https://narodne-novine.nn.hr/clanci/sluzbeni/full/2018_12_111_2162.html
ES	Spain	Banco de España	Yes	As at 07.02.2019, notification date.

		Competent authority	Complies or intends to comply	Comments
FR	France	Autorité de Contrôle Prudentiel et de Résolution (ACPR)	Yes	As at 31.05.2018, notification date. Please note that the Autorité de contrôle prudentiel et de résolution (ACPR) published on 05 June 2018 on its official register a notification declaring its compliance with the Guidelines on connected clients under Article 4(1)(39) of Regulation (EU) N° 575/2013 (EBA/GL/2017/15)
IT	Italy	Bank of Italy	Yes	As of date of notification, 17.03.2021. https://www.bancaditalia.it/competi/vigilanza/normativa/orientamenti-vigilanza/elenco-esa/note/Nota-1-del-19.12.19.pdf
CY	Cyprus	Central Bank of Cyprus	Yes	As at 18.04.2018, notification date.
LV	Latvia	Financial and Capital Market Commission	Yes	As at 08.03.2021, notification date. https://www.fktk.lv/wp-content/uploads/2020/01/Regulation-on-credit-risk-management_012021.pdf
LT	Lithuania	Bank of Lithuania	Yes	As at 04.02.2019, notification date.
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Yes	As at 05.02.2019, notification date.
HU	Hungary	Central Bank of Hungary	Yes	As at 22.02.2019, notification date. Implementing document: MNB Recommendation No 28/2018. (A Magyar Nemzeti Bank 28/2018. (XII.10.) számú ajánlása az 575/2013/EU rendelet 4. cikkének (1) bekezdésének 39. pontja szerinti kapcsolatban álló ügyfelek csoportja (ügyfélcsoport) fogalmának meghatározásáról)
MT	Malta	Malta Financial Services Authority	Yes	As at 04.02.2019, notification date.
NL	Netherlands	De Nederlandsche Bank	Yes	As at 04.03.2019, notification date.
AT	Austria	Austrian Financial Market Authority	Yes	As at 24.01.2019, notification date. In reference to our compliance declaration of 16 April 2018 in which we declared that the FMA "intends to comply" with the EBA

		Competent authority	Complies or intends to comply	Comments
				Guidelines on connected clients under Article 4(1) (39) of Regulation (EU) No 575/2013 (EBA/GL/2017/15) with effect from their entry into force, we would like to confirm the following circumstances. We would like to inform you that following the entry into force of the EBA Guidelines on connected clients under Article 4(1) (39) of Regulation (EU) No 575/2013 (EBA/GL/2017/15) on 1 January 2019, the FMA has been fully compliant with these Guidelines with effect from that date.
PL	Poland	Komisja Nadzoru Finansowego	Yes	As at 23.04.2018, notification date.
PT	Portugal	Banco de Portugal	Yes	As at 05.02.2019, notification date. The EBA GLs have been implemented through Banco de Portugal's Instruction No.28/2018, of 17.12.2018, with application date from 01.01.2019.
RO	Romania	National Bank of Romania	Yes	As at 26.04.2018, notification date.
SI	Slovenia	Bank of Slovenia	Yes	As at 01.01.2019, notification date. https://www.uradni-list.si/glasilo-uradni-list-rs/vsebina/2018-01-1280?so=2018-01-1280
SK	Slovakia	Národná banka Slovenska	Intends to comply**	By 01.01.2020, 01.01.2019.
FI	Finland	Finanssivalvonta (FIN-FSA)	Yes	As at 02 September 2019, notification date.
SE	Sweden	Finansinspektionen	Yes	As at 24.01.2019, notification date.
UK	United Kingdom	PRA	Yes	As at 31.01.2019, notification date.
		Financial Conduct Authority	Yes	As at 17.04.2018, notification date.

EU Institutions – Agencies

ECB	ECB	European Central Bank	Yes	As at 26.03.2019, notification date.
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EEA – EFTA State

		Competent authority	Complies or intends to comply	Comments
IS	Iceland	Fjármálaeftirlitið (Financial Supervisory Authority, Iceland)	Yes	As at 05.02.2019, notification date.
LI	Liechtenstein	Financial Market Authority Liechtenstein (FMA)	Yes	As at 13.04.2018, notification date.
NO	Norway	The Financial Supervisory Authority of Norway	Yes	As at 19.04.2018, notification date.
European Territories under Article 355(3) TFEU				
UK	United Kingdom	Gibraltar Financial Services Commission	Yes	As at 05.06.2018, 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.

