ANNEX XIII

Instructions to complete the templates in Annexes I to XII

General instructions

1. Structure and convention

    1.1 Structure

The framework consists of 12 sets of templates which comprise a total of 15 templates according to the following scheme:

1. Organisational structure
2. Governance and management
3. Critical functions and core business lines
4. Critical counterparties (3 templates)
5. Liabilities structure
6. Pledged collateral
7. Off-balance sheet
8. Payment, clearing and settlement systems
9. Information systems (2 templates)
10. Interconnectedness
11. Authorities
12. Legal impacts of resolution

    1.2 Accounting standard

Institutions shall report carrying amounts under the accounting framework they use for the reporting of financial information. Institutions that are not required to report financial information shall use their respective accounting framework.

For the purpose of this Annex, 'IAS' and 'IFRS' refer to the international accounting standards as defined in Article 2 of Regulation (EC) No 1606/2002.

Amounts reported in the template should be gross book value, unless otherwise stated in the instructions.

    1.3 Numbering convention

The following general notation is used in these instructions to refer to the columns, rows and cells of a template: {Template; Row; Column}.

    1.4 Level of application

The level of application is determined by resolution authorities when formulating their request, either directly or indirectly, to institutions.

Template related instructions

2. Annex I - Organisational structure

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(1) detailed description of the institution's organisational structure including a list of all legal entities
(2) identification of the direct holder and the percentage of voting and non-voting rights of each legal entity

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Direct holder**
030	**Entity name** Name of the Entity holding a direct participation and controlling the legal entity identified in column 010.
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 030. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction.
050	**Capital (%)** Percentage of capital held by the legal entity listed in column 030 in the legal entity listed in column 010.
060	**Voting rights (%)** Percentage of voting rights held by the legal entity listed in column 030 in the legal entity listed in column 010.
070-080	**Consolidating entity**
070	**Entity name** Name of the entity consolidating the entity listed in column 010 at the highest level according to Regulation (EU) No 575/2013.
080	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 070. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.

3. <u>Annex II - Governance and management</u>

The following item listed in Section B of the Annex to Directive 2014/59/EU is covered by this template:
(3) the Location, jurisdiction of incorporation, licensing and key management associated with each legal entity

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030	**Location** City where the entity listed in Column 010 is legally registered.
040	**Jurisdiction of incorporation** Jurisdiction where the entity listed in Column 010 is incorporated, identified according to ISO 3166.
050	**Licensing authority** Name of the authority providing banking or investment firm license to the institution listed in Column 010.
060	**Type of license**
070-090	**Member of the management body responsible for providing the resolution authorities with the information necessary for the resolution plan**
070	**Name** First name, Last name
080	**Phone number**
090	**E-mail address**
100-140	**Key manager** Senior person in the entity responsible for resolution of that entity
100	**Name** First name, Last name
110	**Function**
120	**Department**
130	**Phone numbers** Department's telephone number and individual number of the person named in Column 100.
140	**E-mail addresses** Department's mailbox and individual email address of the person named in Column 100.

4. Annex III - Critical functions and core business lines

> The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
> *(4) a mapping of the institution's critical operations and core business lines including material asset holdings and liabilities related to such operations and business lines, by reference to legal entities*
> *(17) the senior management official responsible for the resolution plan of the institution as well as those responsible, if different, for the different legal entities, critical operations and core business lines*

Instructions concerning specific columns:

Columns	Legal reference and instructions
010	**Critical functions** Means 'critical functions' pursuant to Article 2(1)(35) and Article 2(2) of Directive 2014/59/EU.
020	**Core business lines** Means 'core business lines' pursuant to Article 2(1)(36) and Article 2(2) of Directive 2014/59/EU.
030-040	**Legal entity**
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050	**Location** Country in which business lines operate.
060	**Number of offices/branches in a location**
070-090	**Material assets**
070	**Type**
080	**Amount** In Million
090	**Currency** Identification according to ISO 4217
100-120	**Material liabilities**
100	**Type**
110	**Amount** In Million
120	**Currency** Identification according to ISO 4217
130-170	**Senior management official responsible for providing information**
130	**Name** First name, Last name
140	**Function**
150	**Department**
160	**Phone numbers** Department's telephone number and individual number of the person named in Column 130.
170	**E-mail addresses** Department's mailbox and individual email address of the person named in Column 130.

5. Annex IV, Section 1 - Critical counterparties (Assets)

The following item listed in Section B of the Annex to Directive 2014/59/EU is covered by this template: *(10) Identification of the major or most critical counterparties of the institution as well as an analysis of the impact of the failure of major counterparties in the institution's financial situation*

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Critical counterparty** Criticality to be determined by the relevant authorities. Counterparties shall be reported for the relevant Groups of Connected Clients and in case a client does not belong to a Group of Connected Clients, on an individual level. Resolution authorities may request information on Groups of Connected Clients on an individual level. Group of Connected Clients is defined in Article 4(39) of Regulation (EU) No 575/2013. Information provided in this template should be complementary to the information already provided in Large Exposures.
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050	**Currency** Identification according to ISO 4217
060	**Original exposure** Means 'original exposures' as per Articles 24, 389, 390 and 392 of Regulation (EU) No 575/2013 and should follow the approach in FINREP.
070	**Credit risk mitigations** Means 'credit risk mitigation' (CRM) as per Articles 399 and 401 to 403 of Regulation (EU) No 575/2013. For the purposes of this reporting, the CRM technique as defined in Article 4(57) and recognised in Part Three, Title II, Chapter 3 and 4, shall be used in accordance with the Articles 401 to 403 of Regulation (EU) No 575/2013.
080	**Value adjustments and provisions** Means 'value adjustments and provisions' as defined in Articles 34, 24, 110 and 111 of Regulation (EU) No 575/2013.
090	**Net exposure** 090 = 060 – 070 – 080
100	**Impact on CET1 ratio** Impact of a default of the counterparty listed in column 030 on the Core Equity Tier 1 ratio of the legal entity listed in column 010. Suggested formula for

	calculating Impact on CET1 ratio is: CET1 – ((CET1 – expected loss) / (RWA – expected loss)) = Impact on CET1. Where the resolution authorities determine that a more sophisticated formula is more appropriate they are free to request a different one.

6.   Annex IV, Section 2 - Critical counterparties (Liabilities)

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template: *(10) Identification of the major or most critical counterparties of the institution as well as an analysis of the impact of the failure of major counterparties in the institution's financial situation*

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Critical counterparty** Criticality to be determined by the relevant authorities. Information provided in this template should be complementary to the information already provided in Large Exposures.
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050-070	**Funding**
050	**Type**
060	**Amount** Expressed in currency of the liability
070	**Currency** Identification according to ISO 4217

7. Annex IV, Section 3 - Critical counterparties (Material Hedges)

The following item listed in Section B of the Annex to Directive 2014/59/EU is covered by this template:
(9) the material hedges of an institution including a mapping to legal persons

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Critical counterparty** Counterparties shall be reported for the relevant Groups of Connected Clients and in case a client does not belong to a Group of Connected Clients, on an individual level. Resolution authorities may request information on Groups of Connected Clients on an individual level. Group of Connected Clients is defined in Article 4(39) of Regulation (EU) No 575/2013.
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050-080	**Material hedges (on-balance sheet)**
050	**Type** Material hedges provided should not be limited to accounting hedges.
060	**Amount**
070	**Currency** Identification according to ISO 4217
080	**Purpose of hedge** Risks intended to be hedged.
090-120	**Material hedges (off-balance sheet)**
090	**Type** Material hedges provided should not be limited to accounting hedges.
100	**Amount**
110	**Currency** Identification according to ISO 4217
120	**Purpose of hedge** Risks intended to be hedged.

8. Annex V - Liabilities structure

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(5) a detailed description of the components of the institution's and all its legal entities' liabilities, separating, at a minimum by types and amounts of short term and long-term debt, secured , unsecured and subordinated liabilities
(6) detail of those liabilities of the institution that are eligible liabilities

Instructions concerning specific rows:

Rows	Legal reference and instructions
010	**Legal entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030	**Governing law of the liabilities** EEA or 'third country'. Resolution authorities are free to set a threshold above which they would require a breakdown into different third countries.
040	**Date**
050	**Natural persons**
055	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
060	**Micro, small and medium-sized enterprises**
065	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
070	**Large non-financial enterprises**
075	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
080	**Institutions** As defined in Article 2(23) of Directive 2014/59/EU.
085	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU. Debt with legal subordination (column 050) and senior unsecured debt (column 080) of institutions, with original maturity of less than 7 days should not be included in the 'of which eligible liabilities' amount provided in row 085 because in line with Article 44(2) of Directive 2014/59/EU, such liabilities are excluded from bail-in.
090	**Insurance firms and pension funds** Insurance undertakings, reinsurance undertakings firms and pension and retirement funds
095	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
100	**Other financial undertakings**
105	*Of which eligible liabilities*

	Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
110	**Intragroup** Exposures towards entities within the same group. Such exposures shall be listed in that row only to avoid double counting (e.g. exposures towards a bank belonging to the same group should be identified in row 110 and not in row 080 on 'credit institutions').
115	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
120	**Government, central banks and supranationals**
125	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
130	**Others/non-identified** Where the identity of the holder of a security is not possible, only totals should be provided.
135	*Of which eligible liabilities* Amount of liabilities that are 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.
150	**Total**
160	**Total eligible liabilities** Total of 'eligible liabilities' pursuant to Article 2(71) of Directive 2014/59/EU.

Instructions concerning specific columns

Columns	Legal reference and instructions
010	**Debt with a legal subordination qualifying as additional tier 1**
020-040	**Debt with a legal subordination qualifying as tier 2**
020	**Remaining maturity of less than a month**
030	**Remaining maturity of less than a year**
040	**Remaining maturity of more than a year**
050-070	**Debt with a legal subordination**
050	**Remaining maturity of less than a month** Subordinated debt which does not qualify as tier 1 or tier 2.
060	**Remaining maturity of less than a year** Subordinated debt which does not qualify as tier 1 or tier 2.
070	**Remaining maturity of more than a year** Subordinated debt which does not qualify as tier 1 or tier 2.
080-100	**Senior unsecured debt** Includes certificates of deposits and commercial papers
080	**Remaining maturity of less than a month**
090	**Remaining maturity of less than a year**
100	**Remaining maturity of more than a year**
110-130	**Deposits**
110	**Total**
120	*Of which Eligible deposits*
130	*Of which Covered deposits* Excluded from the scope of bail-in by article 44(2)(a).
140	**Secured debt** Excluded from the scope of bail-in by article 44(2)(b).
150	**Other liabilities excluded by Article 44(2) of BRRD** Excluded from the scope of bail-in by articles 44(2)(a-d) to 44(2)(f-g).

160-170	**Derivatives** Only on-balance sheet items. Off-balance sheet items should be reported in Annex VII.
160	**Exposure after prudential netting**
170	**Exposure after deducting margin and collateral**
180	**Total** Sum of columns 010-110, 140-160.

9. Annex VI - Pledged collateral

> The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
>
> *(7) an identification of the processes needed to determine to whom the institution has pledged collateral, the person that holds the collateral and the jurisdiction in which the collateral is located*

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Issuer of collateral**
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050	**Type of collateral** Covers all types of pledging including where there is an off-balance sheet liability or no liability (e.g. collateral swaps, default funds).
060	**Identification number** ISIN code. Where the 'ISIN code' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
070-080	**Holder of collateral**
070	**Entity name**
080	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
090	**Amount**
100	**Currency** Identification according to ISO 4217
110	**Jurisdiction** Law of the jurisdiction applicable to the holder of the collateral as identified in column 070 (e.g. German law).
120-130	**Counterparty**
120	**Name**
130	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The

		Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
140	**Amount**	
150	**Currency** Identification according to ISO 4217.	
160	**Jurisdiction** Law of the jurisdiction applicable to the pledge contract.	

10. Annex VII - Off-balance sheet

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(8) A description of the off balance sheet exposures of the institution and its legal entities, including a mapping to its critical operations and core business lines
(21) information on off-balance sheet activities, hedging strategies

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030	**Off-balance sheet item** To be identified under the three following categories: 'guarantees', 'credit lines', 'other'. This template should not include on balance sheet items.
040-050	**Counterparty**
040	**Entity name**
050	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
060-070	**Amount**
060	**Total** Nominal value.
070	*of which committed* To be filled in for credit lines only.
080	**Currency** Identification according to ISO 4217.
090	**Critical operations**
100	**Core business lines**
110	**Additional information**

11. Annex VIII, Section 1 – Payment, clearing and settlement systems

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(11) each system on which the institution conducts a material number or value amount of trades, including a mapping to the institution's legal persons, critical operations and core business lines
(12) Each payment, clearing or settlement system of which the institution is directly or indirectly a member, including a mapping to the institution's legal persons, critical operations and core business lines

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-060	**System**
030	**System type** Categorise systems using the following options: 'Payment', 'Settlement', 'Securities clearing', 'Derivatives clearing', 'Depository', 'CCP', and 'Other'. Where more than one applies, specify all types.
040	**Designation**
050	**Participation mode** Direct or indirect.
060	**Identification code** BIC code. Where the 'BIC code' is not available another form of identification shall be provided, e.g. institution code or account number. Only where there is no other form of identification, it is allowed to say 'not available'.
070-080	**Representative institution** Should only be filled when access is indirect.
070	**Entity name**
080	**Identification code**
090	**Mapping to critical function**
100	**Mapping to core business line**
110	**Membership requirements** Qualitative and quantitative information necessary to understand the risk of the institution's membership being cancelled.
120	**Impact of resolution proceedings on membership or contract with the representative institution**
130	**Substitutability** Name of potential other payment system provider that could substitute the payment system provider listed in column 040.
140	**Additional information**

12. Annex IX, Template 1 - Information systems (General information)

> The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
> *(13) a detailed inventory and description of the key management information systems, including those for risk management, accounting and financial reporting used by the institution including a mapping to the institution's legal persons, critical operations and core business lines*
> *(14) an identification of the owners of the systems identified in point 13, SLA related thereto, and any software and systems or licenses, including a mapping to their legal entities, critical operations and core business lines*

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**System**
010	**Identification**
020	**Type** To be chosen between 'risk management', 'accounting', 'financial reporting', 'regulatory reporting' and 'other'.
030	**Description**
040-050	**Group entity party to the contract**
040	**Entity name**
050	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
060	**Type of contract** License, shared service, or other
070-080	**Counterparty**
070	**Entity name**
080	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
090-110	**Person responsible**
090	**Name**
100	**Phone number**
110	**Email address**
120	**Impact of resolution proceedings on continuity of access to information systems**

13. Annex IX, Template 2 - Information systems (Mapping)

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(13) a detailed inventory and description of the key management information systems, including those for risk management, accounting and financial reporting used by the institution including a mapping to the institution's legal persons, critical operations and core business lines
(14) an identification of the owners of the systems identified in point 13, SLA related thereto, and any software and systems or licenses, including a mapping to their legal entities, critical operations and core business lines

Instructions concerning specific columns:

Columns	Legal reference and instructions
010	**System**
020-050	**User**
020	**Entity name**
030	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
040	**Critical functions** Means 'critical functions' pursuant to Articles 2(1)(35) and 2(2) of Directive 2014/59/EU.
050	**Core business lines** Means 'core business lines' pursuant to Articles 2(1)(36) and 2(2) of Directive 2014/59/EU.

14. Annex X - Interconnectedness

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:

(15) an identification and mapping of the legal persons and the interconnections and interdependencies among different legal persons such as:

- common or shared personnel, facilities and systems

- capital, funding or liquidity arrangements

- existing or contingent credit exposure

- cross guarantee agreements, cross-collateral arrangements, cross-default provisions and cross-affiliate netting arrangements

- risk transfers and back-to-back trading arrangements, service level agreements

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Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity A**
010	**Entity name** Must be different from the name listed in column 030.
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Must be different from the identifier listed in column 040 Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-040	**Legal entity B**
030	**Entity name** Must be different from the name listed in column 010.
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Must be different from the identifier listed in column 020 Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
050	**Type of interconnectedness** To be chosen between the following categories: - Personnel - Facilities - System - Capital arrangements - Funding arrangements - Liquidity arrangements - Credit exposure - Cross-guarantee agreement - Cross-collateral arrangement - Cross-default provision - Cross-affiliate netting arrangements - Risk transfers - Back-to-back trading arrangements - Service level agreement

	- Other	
060	**Description** To be mandatory filled when columns 010 to 050 are filled.	

15. Annex XI - Authorities

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(16) Supervisory and resolution authority for each legal entity
(18) Description of the arrangements that the institution has in place to ensure that, in the event of resolution, the resolution authority will have the necessary information, as determined by the resolution authority, for applying the resolution tools and powers

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. Where the 'Legal Identifier' is not available for a given entity another form of identification shall be provided. Only where there is no other form of identification, it is allowed to say 'not available'.
030-050	**Supervisory authority/ies**
030	**Name of the authority**
040	**Phone number**
050	**Email address**
060-080	**Resolution authority**
060	**Name of the authority**
070	**Phone number**
080	**Email address**
090-110	**Deposit guarantee authority**
090	**Name of the authority**
100	**Phone numbers**
110	**Email address**

16. Annex XII – Legal impact of resolution

The following items listed in Section B of the Annex to Directive 2014/59/EU are covered by this template:
(19) All the agreements entered into by the institutions and their legal entities with third parties the termination of which may be triggered by a decision of the authorities to apply a resolution tool and whether the consequences of termination may affect the resolution tool

Instructions concerning specific columns:

Columns	Legal reference and instructions
010-020	**Legal entity**
010	**Entity name**
020	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction.
030-040	**Third party**
030	**Entity name**
040	**Legal identifier** 20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction.
050	**Type of contract**
060	**Termination affecting resolution tool** Y ('yes') or N ('no').
070	**Comments**