

ANNEX I

Form for the submission of a branch passport notification or a change in a branch particulars notification

Where credit institutions notify changes in branch particular notifications to competent authorities of home and host Member States, credit institutions shall only complete the parts of the form which contain information that has changed.

1. Contact information

Type of notification	<i>[Branch passport notification/change in branch particulars notification]</i>
Host Member State in which the branch is to be established:	<i>[to be completed by the credit institution]</i>
Name and reference number of the credit institution:	<i>[to be completed by the credit institution]</i>
Address of the credit institution in the host Member State from which documents may be obtained:	<i>[to be completed by the credit institution]</i>
Intended principal place of business of the branch in the host Member State:	<i>[to be completed by the credit institution]</i>
Date on which the branch intends to commence its activities:	<i>[to be completed by the credit institution]</i>
Name of contact person at the branch:	<i>[to be completed by the credit institution]</i>
Telephone number:	<i>[to be completed by the credit institution]</i>
E-mail:	<i>[to be completed by the credit institution]</i>

2. Programme of operations

2.1. Types of business envisaged

2.1.1. Description of the main objectives and business strategy of the branch and an explanation of how the branch will contribute to the strategy of the institution and, where applicable, of its group

[to be completed by the credit institution]

2.1.2. Description of the target customers and counterparties

[to be completed by the credit institution]

2.1.3. List of the activities referred to in Annex I to Directive 2013/36/EU that the credit institution intends to carry out in the host Member State with the indication of the activities that will constitute the core business in the host Member State, including the intended start date for each core activity

No	Activity	Activities that the credit institution intends to carry out	Activities that will constitute the core business	Intended start date for each core activity
1.	Taking deposits and other repayable funds			
2.	Lending including, inter alia: consumer credit, credit agreements relating to immovable property, factoring, with or without recourse, financing of commercial transactions (including forfeiting)			
3.	Financial leasing			
4.	Payment services as defined in Article 4(3) of Directive 2007/64/EC of the European Parliament and of the Council (1)			
4a.	Services enabling cash to be placed on a payment account as well as all the operations required for operating a payment account			
4b.	Services enabling cash withdrawals from a payment account as well as all the operations required for operating a payment account			
4c.	Execution of payment transactions, including transfers of funds on a payment account with the user's payment service provider or with another payment service provider:			

	<ul style="list-style-type: none"> —execution of direct debits, including one-off direct debits —execution of payment transactions through a payment card or a similar device —execution of credit transfers, including standing orders 			
4d.	<p>Execution of payment transactions where the funds are covered by a credit line for a payment service user:</p> <ul style="list-style-type: none"> —execution of direct debits, including one-off direct debits —execution of payment transactions through a payment card or a similar device —execution of credit transfers, including standing orders 			
4e.	Issuing and/or acquiring of payment instruments			
4f.	Money remittance			
4g.	Execution of payment transactions where the consent of the payer to execute a payment transaction is given by means of any telecommunication, digital or IT device and the payment is made to the telecommunication, IT system or network operator, acting only as an intermediary between the payment service user and the supplier of the goods and services (?)			
5.	Issuing and administering other means of payment (e.g. travellers' cheques and bankers'			

	drafts) insofar as such activity is not covered by point 4			
6.	Guarantees and commitments			
7.	Trading for own account or for account of customers in any of the following:			
7a.	—Money market instruments (e.g. cheques, bills, certificates of deposits)			
7b.	—Foreign exchange			
7c.	—Financial futures and options			
7d.	—Exchange and interest-rate instruments			
7e.	—Transferable securities			
8.	Participation in securities issues and the provision of services relating to such issues			
9.	Advice to undertakings on capital structure, industrial strategy and related questions and advice as well as services relating to mergers and the purchase of undertakings			
10.	Money broking			
11.	Portfolio management and advice			
12.	Safekeeping and administration of securities			
13.	Credit reference services			
14.	Safe custody services			
15.	Issuing electronic money			

2.1.4. List of the services and activities that the credit institution intends to carry out in the host Member State, and which are provided for in Sections A and B of Annex I to Directive 2004/39/EC of the European Parliament and of the Council ⁽³⁾, when referring to the financial instruments provided for in Section C of Annex I of that Directive

Financial Instruments	Investment services and activities								Ancillary services						
	A 1	A 2	A 3	A 4	A 5	A 6	A 7	A 8	B 1	B 2	B 3	B 4	B 5	B 6	B 7
C1															
C2															
C3															
C4															
C5															
C6															
C7															
C8															
C9															
C10															

Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I)

2.2. Structural organisation of the branch

2.2.1. Description of the organisational structure of the branch, including functional and legal reporting lines and the position and role of the branch within the corporate structure of the institution and, where applicable, of its group

[to be completed by the credit institution]

The description can be supported by relevant documents, such as an organisational chart

2.2.2. Description of the governance arrangements and internal control mechanisms of the branch, including the following information:

2.2.2.1. risk management procedures of the branch and details of liquidity risk management of the institution, and where applicable, of its group

[to be completed by the credit institution]

2.2.2.2. any limits that apply to the activities of the branch, in particular to its lending activities

[to be completed by the credit institution]

2.2.2.3. details of the internal audit arrangements of the branch, including details of the person responsible for these arrangements and, where applicable, details of the external auditor

[to be completed by the credit institution]

2.2.2.4. anti-money laundering arrangements of the branch including details of the person appointed to ensure compliance with these arrangements

[to be completed by the credit institution]

2.2.2.5. controls over outsourcing and other arrangements with third parties in connection with the activities carried out in the branch that are covered by the institution's authorisation

[to be completed by the credit institution]

2.2.3. Where the branch is expected to carry out one or more of the investment services and activities defined in point 2 of Article 4(1) of Directive 2004/39/EC, a description of the following arrangements:

2.2.3.1. arrangements for safeguarding client money and assets

[to be completed by the credit institution]

2.2.3.2. arrangements for compliance with the obligations laid down in Articles 19, 21, 22, 25, 27 and 28 of Directive 2004/39/EC and measures adopted pursuant thereto by the relevant competent authorities of the host Member State

[to be completed by the credit institution]

2.2.3.3. internal code of conduct including controls over personal account dealing

[to be completed by the credit institution]

2.2.3.4. details of the person responsible for dealing with complaints in relation to the investment services and activities of the branch

[to be completed by the credit institution]

2.2.3.5. details of the person appointed to ensure compliance with the arrangements of the branch relating to investment services and activities

[to be completed by the credit institution]

2.2.4. details of professional experience of the persons responsible for the management of the branch

[to be completed by the credit institution]

2.3. Other information

2.3.1. Financial plan containing forecasts for balance sheet and profit and loss account, covering a period of three years

[to be completed by the credit institution]

This information can be provided as an attachment to the notification

2.3.2. Name and contact details of the Union deposit guarantee and investor protection schemes of which the institution is a member and which cover the activities and services of the branch, together with the maximum coverage of the investor protection scheme

[to be completed by the credit institution]

2.3.3. Details of the branch's IT arrangements

[to be completed by the credit institution]

[\(1\)](#) Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007. on payment services in the internal market ([OJ L 319, 5.12.2007, p. 1](#)).

[\(2\)](#) Does the activity referred to in point 4g include the granting of credits in accordance with the conditions set out in Article 16(3) of Directive 2007/64/EC?

yes no

[\(3\)](#) Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments amending Council Directives 85/611/EEC and 93/6/EEC and Directive 2000/12/EC of the European Parliament and of the Council and repealing Council Directive 93/22/EEC ([OJ L 145, 30.4.2004, p. 1](#)).

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ANNEX II

Form for the communication of branch passport notification

Competent authorities of the home Member State:	
Name of the contact person:	
Telephone number:	
E-mail:	
Address of the competent authorities of the host Member State:	
	[Date]
	Ref:
Communication of branch passport notification	
[The communication shall include at least the following information:	
—name and reference number of the credit institution;	
—competent authorities responsible for the authorisation and supervision of the credit institution;	
—statement on the credit institution's intention to carry out activities in the territory of the host Member State, including the date of receipt of the branch passport notification containing information that is assessed to be complete and correct;	
—name and contact details of the persons responsible for the management of the branch;	
—name and contact details of the Union deposit guarantee and investor protection schemes of which the institution is a member and which cover the activities and	

services of the branch.]	
[Contact details]	

ANNEX III

Form for the communication of the amount and composition of own funds and own funds requirements

1. Amount and composition of own funds

Item All references are to the provisions of Regulation (EU) No 575/2013 of the European Parliament and of the Council (1)	Amount (in million EUR)
Own funds Articles 4(1)(118) and 72	<i>[data as reported in row 010 in Template 1 of Annex 1 of Commission Implementing Regulation (EU) No 680/2014 (2)]</i>
Tier 1 capital Article 25	<i>[data as reported in row 015 in Template 1 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Common Equity Tier 1 capital Article 50	<i>[data as reported in row 020 in Template 1 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Additional Tier 1 capital Article 61	<i>[data as reported in row 530 in Template 1 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Tier 2 capital Article 71	<i>[data as reported in row 750 in Template 1 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>

2. Own fund requirements

Item All references are to the provisions of Regulation (EU) No 575/2013	Amount (in million EUR)
Total risk exposure amount	<i>[data as reported in row 010 in Template 2 of Annex 1 of Implementing Regulation (EU) No</i>

Articles 92(3), 95, 96 and 98	680/2014]
Risk weighted exposure amounts for credit, counterparty credit and dilution risks and free deliveries Points (a) and (f) of Article 92(3)	<i>[data as reported in row 040 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Total risk exposure amount for settlement/delivery Point (c) (ii) of Article 92(3) and point (b) of Article 92(4)	<i>[data as reported in row 490 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Total risk exposure amount for position, foreign exchange and commodities risks Points (b)(i), (c)(i) and (c)(iii) of Article 92(3) and point (b) of Article 92(4)	<i>[data as reported in row 520 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Total risk exposure amount for operational risk Point (e) of Article 92(3) and point (b) of Article 92(4)	<i>[data as reported in row 590 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Additional risk exposure amount due to fixed overheads Articles 95(2), 96(2), 97 and 98(1) point (a)	<i>[data as reported in row 630 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Total risk exposure amount for credit valuation adjustment Point (d) of Article 92(3)	<i>[data as reported in row 640 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Total risk exposure amount related to large exposures in the trading book Point (b)(ii) of Article 92(3) and Articles 395 to 401	<i>[data as reported in row 680 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>
Other risk exposure amounts Articles 3, 458, 459 and 500 and risk exposure amounts which cannot be assigned to one of the other items of this table	<i>[data as reported in row 690 in Template 2 of Annex 1 of Implementing Regulation (EU) No 680/2014]</i>

[Ⓛ](#) Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012 ([OJ L 176, 27.6.2013, p. 1](#)).

[Ⓛ](#) Commission Implementing Regulation (EU) No 680/2014 of 16 April 2014 laying down implementing technical standards with regard to supervisory reporting of institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council ([OJ L 191, 28.6.2014, p. 1–1861](#))

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ANNEX IV

**Form for the submission of a change in branch particulars notification which concerns a
planned termination of the operation of a branch**

Name of the contact person at the credit institution or branch:	
Telephone number:	
E-mail:	
Address of the competent authorities of the home Member State:	
Address of the competent authorities of the host Member State:	
	[Date]
	[Ref:]
Submission of a change in branch particulars notification which concerns a planned termination of the operation of a branch	
[The notification shall include at least the following information:	
—name and reference number of the credit institution;	
—name of the branch in the territory of the host Member State;	
—competent authorities responsible for the authorisation and supervision of the credit institution;	
—statement on the credit institution's intention to terminate the operation of the branch in the territory of the host Member State and the date by which the termination will be effective;	
—name and contact details of the persons who will be responsible for the process of	

terminating the operation of the branch;	
—estimated schedule for the planned termination;	
—information on the process of terminating the business relations with branch customers.]	
[Contact details]	

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ANNEX V

Form for the submission of services passport notification

1. Contact information

Type of notification	Services passport notification
Host Member State in which the credit institution intends to carry out its activities:	
Name and reference number of the credit institution:	
Address of the head office of the credit institution:	
Name of contact person at the credit institution:	
Telephone number:	
E-mail:	

2. List of the activities referred to in Annex I to Directive 2013/36/EU that the credit institution intends to carry out in the host Member State with the indication of the activities that will constitute the core business of the credit institution in the host Member State, including the intended commencement date for each core service activity

No	Activity	Activities that the credit institution intends to carry out	Activities that will constitute the core business	Intended start date for each core activity
1.	Taking deposits and other repayable funds			
2.	Lending including, inter alia: consumer credit, credit agreements relating to immovable property, factoring, with or without recourse, financing of commercial transactions (including forfeiting)			

3.	Financial leasing			
4.	Payment services as defined in Article 4(3) of Directive 2007/64/EC			
4a	Services enabling cash to be placed on a payment account as well as all the operations required for operating a payment account			
4b	Services enabling cash withdrawals from a payment account as well as all the operations required for operating a payment account			
4c	<p>Execution of payment transactions, including transfers of funds on a payment account with the user's payment service provider or with another payment service provider:</p> <ul style="list-style-type: none"> —execution of direct debits, including one-off direct debits —execution of payment transactions through a payment card or a similar device —execution of credit transfers, including standing orders 			
4d	<p>Execution of payment transactions where the funds are covered by a credit line for a payment service user:</p> <ul style="list-style-type: none"> —execution of direct debits, including one-off direct debits —execution of payment transactions through a payment card or a similar device 			

	—execution of credit transfers, including standing orders			
4e	Issuing and/or acquiring of payment instruments			
4f	Money remittance			
4g	Execution of payment transactions where the consent of the payer to execute a payment transaction is given by means of any telecommunication, digital or IT device and the payment is made to the telecommunication, IT system or network operator, acting only as an intermediary between the payment service user and the supplier of the goods and services (1)			
5.	Issuing and administering other means of payment (e.g. travellers' cheques and bankers' drafts) insofar as such activity is not covered by point 4			
6.	Guarantees and commitments			
7.	Trading for own account or for account of customers in any of the following:			
7a	—money market instruments (e.g. cheques, bills, certificates of deposits)			
7b	—foreign exchange			
7c	—financial futures and options			
7d	—exchange and interest-rate instruments			
7e	—transferable securities			
8.	Participation in securities issues and the provision of services related to such issues			

C6															
C7															
C8															
C9															
C10															
<p>Row and column headings are references to the relevant section and item number in Annex I to Directive 2004/39/EC (e.g. A1 refers to point 1 of Section A of Annex I).</p>															

[\(U\)](#) Does the activity referred to in point 4g include the granting of credits in accordance with the conditions set out in Article 16(3) of Directive 2007/64/EC?

yes no

ANNEX VI

Form for the communication of services passport notification

Competent authorities of the home Member State:	
Name of the contact person:	
Telephone number:	
E-mail:	
Address of the competent authorities of the host Member State:	
	[Date]
	Ref:
Communication of services passport notification	
[The communication shall include at least the following information:	
—name and reference number of the credit institution;	
—competent authorities responsible for the authorisation and supervision of the credit institution;	
—statement on the credit institution's intention to carry out activities in the territory of the host Member State in the exercise of the freedom to provide services.]	
[Contact details]	
