



5. Annexe

Technical specifications in accordance with Article 13(7) of the regulatory technical standards under Article 9a (1) and (3) of Regulation (EU) No 1093/2010 setting up an AML/CFT central database

Data Points

Article of the RTS	Type of information	Data points
Article 6 Type of information - general		
6 (a)	Identification of the competent authority Identification of the authority indirectly submitting the information where Article 13(4) applies	The name of the authority; The Member State of the authority (pre-defined list, single choice) The type of authority (pre-defined list, single choice) <input type="checkbox"/> AML/CFT authority; <input type="checkbox"/> Prudential authority; <input type="checkbox"/> Resolution authority; <input type="checkbox"/> Designated Authority; <input type="checkbox"/> Conduct of business; <input type="checkbox"/> Payment institutions authority;
	Specification of home and host AML/CFT authority	(pre-defined list, single choice) <input type="checkbox"/> Home authority;



		<input type="checkbox"/> Host authority; If the AML/CFT authority acts as the home authority, name of the AML/CFT authority acting as host (pre-defined list, single choice) and vice versa
6(b)	Identification of the financial sector operator and of its branches, agents and distributors under Directive (EU) 2015/2366 and Directive (EU) 2009/110 concerned by the material weakness or the measures taken, including the type of financial sector operator and, where applicable, the type of establishment;	The legal name of the financial sector operator/branch/agent and distributor
		The commercial name of the financial sector operator/branch/agent and distributor (if different from the legal name)
		The address of the financial sector operator/branch/agent and distributor: a) Street address; b) Postcode; c) City; d) Country (pre-defined list, single choice)
		The type of financial sector operator (also to be completed for branch/agent and distributor) (pre-defined list, single choice) <input type="checkbox"/> Credit Institution; <input type="checkbox"/> Credit union; <input type="checkbox"/> Credit provider (other than credit institutions, for example consumer credit, factoring, leasing, mortgage credit and commercial credit); <input type="checkbox"/> Life insurance undertaking; <input type="checkbox"/> Life insurance intermediary <input type="checkbox"/> E-money institution; <input type="checkbox"/> Payment Institution; <input type="checkbox"/> Bureau de change; <input type="checkbox"/> Investment firm; <input type="checkbox"/> Collective investment undertakings/fund managers: <input type="checkbox"/> Alternative investment fund managers as defined under Article 4(1)(b) of Directive 2011/61/EU, including registered (sub-threshold) and authorised AIFMs ¹³ as well as non-EU AIFMs managing EU AIFs or marketing (EU or non-EU) AIFs to investors in the EU;

¹³ Including internally managed AIFs in accordance with Article 5(1)(b) of the AIFMD.



		<p> <input type="checkbox"/> 'Management companies' as defined under Article 2(1)(b) of Directive 2009/65/EC; <input type="checkbox"/> 'Manager of a qualifying venture capital fund' as defined under Article 3(c) of Regulation (EU) No 345/2013; <input type="checkbox"/> 'Manager of a qualifying social entrepreneurship fund' as defined under Article 3(1)(c) of Regulation (EU) No 346/2013; <input type="checkbox"/> 'Manager of European long-term investment funds' as defined under Article 2(12) of Regulation (EU) 2015/760 <input type="checkbox"/> 'Alternative investment funds' as defined under Article 4(1)(a) of Directive 2011/61/EU¹⁴, marketing their units or shares; <input type="checkbox"/> Other type of financial sector operator (free text) </p> <p>The material weakness concerns (pre-defined list, single choice):</p> <p> <input type="checkbox"/> Branch of a financial sector operator located in another European Union Member State; <input type="checkbox"/> Branch of an entity located in a third country. In this case, the third country concerned (pre-defined list, single choice) <input type="checkbox"/> A network of agents or distributors <input type="checkbox"/> Other form of establishment (free text) <input type="checkbox"/> Not applicable </p> <p>The entity identifier of the financial sector operator/branch/agent and distributor</p> <p>a) The legal entity identifier (LEI) if available (for a branch/agent and distributor: the LEI of the financial sector operator); A code that allows legally distinct entities that engage in financial transactions to be uniquely identified</p> <p>b) The national identifier In the case of an agent under Directive (EU) 2015/2366 on payment services in the internal market: the national identification number</p>
6(c)	Where the financial sector operator is part of a group, identification of the Union parent financial sector	<p>Is the financial sector operator part of a group?</p> <p> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>

¹⁴ Including European venture capital funds (EuVECA), European social entrepreneurship funds (EuSEF), European long-term investment funds (ELTIFs) and money market funds (MMF) qualifying as AIFs in accordance with Article 4(1)(a) of Directive 2011/61/EU



	operator, the parent financial sector operator in a Member State;	<p>The name of the Union parent financial sector operator;</p> <p>The name of the parent financial sector operator;</p> <p>The address of the Union parent financial sector operator/parent financial sector operator:</p> <p>a) Street address;</p> <p>b) Postcode;</p> <p>c) City;</p> <p>d) Country (pre-defined list, single choice).</p> <p>Type of the union parent financial sector operator/parent financial sector operator (on a voluntary basis): (pre-defined list, single choice)</p> <p><input type="checkbox"/> Not applicable, the financial sector operator is a subsidiary of a legal entity situated in a third country (pre-defined list of countries, single choice)</p>
6(d)	In the case of the European Central bank, the Single Resolution Board or the national competent authorities of the Member State where the registered office of the financial sector operator is situated, or, if the financial sector operator has no registered office, of the Member State in which its head office is situated, identification of the countries in which the financial sector operator operate branches and subsidiaries or through a network of agents and distributors;	<p>Countries where the financial sector operator operates branches/agents and distributors (EU/non-EU) (Pre-defined list, multiple choice)</p> <p>Countries where the financial sector operator operates subsidiaries (EU/non-EU) (Pre-defined list, multiple choice)</p>
6(e)	where the financial sector operator is part of a group, information as to any college established where the competent authority participates including information on the members, observers, lead supervisor/group supervisor/ consolidating supervisor/group level resolution authority of that college	<p>The type of college established where the competent authority participates (if any):</p> <p><input type="checkbox"/> The competent authority participates in an AML/CFT college</p> <p>If so, role of the competent authority in the AML/CFT college (pre-defined-list, single choice)?</p> <p><input type="checkbox"/> Permanent member;</p> <p><input type="checkbox"/> Observer;</p> <p><input type="checkbox"/> Lead supervisor.</p> <p>If it is not the lead supervisor, name of the authority that is the lead supervisor and country (free text);</p> <p><input type="checkbox"/> The competent authority participates in a prudential college</p> <p>If so, role of the competent authority in the prudential college (pre-defined-list, single choice)</p> <p><input type="checkbox"/> Permanent member;</p> <p><input type="checkbox"/> Observer;</p>



		<input type="checkbox"/> Consolidated supervisor/group supervisor; If it is not the consolidated supervisor/group supervisor, name of the authority that is the consolidated supervisor/group supervisor and country (free text); c) <input type="checkbox"/> The competent authority participates in a resolution college If so, role of the competent authority in the resolution college (pre-defined list, single choice) <input type="checkbox"/> Permanent member; <input type="checkbox"/> Observer; <input type="checkbox"/> Group lead resolution authority (GLRA) of this college. If it is not the GLRA, name of the authority that is the GLRA and country (free text); <input type="checkbox"/> Not applicable
6(f)	Whether there is a central contact point as referred to in Article 45(9) of Directive (EU) 2015/849, where applicable, and its identification;	<input type="checkbox"/> Yes; <input type="checkbox"/> No To be completed in situations where agents or distributors under Directive (EU) 2015/2366 on payment services in the internal market and Directive (EU) 2009/110 are concerned by the material weakness. Is 'yes' is selected: Name; Contact details.
6(g)	Any other relevant information, including whether the financial sector operator is currently applying for authorisation, establishment or other supervisory approvals, whether the financial sector operator is in the process of application to exercise its right of establishment or its freedom to provide services, and whether the financial sector operator is subject to any proceedings set out in Directive 2014/59/EU or other insolvency proceedings;	The current status of the financial sector operator (from a pre-defined list, single choice): <input type="checkbox"/> Request for an extension of authorisation/date; <input type="checkbox"/> Authorised/date; <input type="checkbox"/> Request for passporting/date; <input type="checkbox"/> In the process of application to exercise its right of establishment/date; <input type="checkbox"/> In the process of application to exercise its right to provide services under the freedom to provide services/date <input type="checkbox"/> Withdrawal of authorisation /date <input type="checkbox"/> Suspension of authorisation/date <input type="checkbox"/> Resolution/date <input type="checkbox"/> Liquidation/ date;
6(h)	Information on the size of the financial sector operator's and branch's activities, including, where applicable: a) information on financial statements; b) number of clients;	With regard to the type of financial sector operators below, the following information shall be provided (information in the Member State, at the time of submission) a) For Credit Institution, Credit Union, Credit provider, Payment institutions and E money institutions ,



	<p>c) volume of assets under management; d) for an insurance undertaking: its annual gross written premium (GWP) and the size of its technical provisions e) for an insurance intermediary: the volume of premiums intermediated; f) for payment institutions and electronic money institutions: the size of the distribution network including information on the number of agents and distributors;</p>	<p>Balance sheet of the financial sector operator (total assets (liability + equities)/date (to be submitted by the prudential competent authority on a mandatory basis/voluntary by the others); approximate number of clients; b) For life insurance undertakings (to be submitted by the prudential competent authority on a mandatory basis/voluntary by the others): annual gross written premium (GWP); size of the technical provisions. c) For life insurance intermediaries: the volume of premiums intermediated d) For payment institutions and e-money institutions: number of agents/distributors operating in the Member State (to be completed by the host AML/CFT competent authority); e) For investment firms: client assets under management and amount of own assets (balance sheet (total assets) /date); f) Collective investment undertakings/fund managers: approximate number of clients, assets under management, balance sheet (total assets)/date g) Other type of financial sector operators: approximate number of clients, assets under management, balance sheet (total assets)/date)</p>
6(i)	<p>Prudential authorities shall, in addition to points (a) to (h), specify the following: a) The result of the relevant risk assessment of any supervisory review process, including of the processes referred to in Article 97 of Directive 2013/36/EU and Directive 2019/138/EC and of any other similar process impacted by the ML/TF risk of the financial sector operator or of the branch, including in the areas of internal governance, business model, operational risk, liquidity and credit risk;</p>	Free text
	<p>b) Any negative final assessment or decision on an application for authorisation or approval, including where a member of the management body does not meet the requirements on fitness and propriety, where such decision is also based on grounds of</p>	<p>Free text Any reporting on natural persons shall be made in accordance with Annex 2 of the draft RTS.</p>



	ML/TF risks. Any reporting on natural persons shall be made in accordance with Annex 2.	
6(j)	AML/CFT authorities shall, in addition to points (a) to (h), provide the ML/TF risk profile of the financial sector operator and branch as well as available information about agents' and distributors' ML/TF risk profile using the categories specified in Annex 3.	Categories as specified in Annex 3 of the draft RTS
Article 7 Type of information to be submitted for the material weakness		
7(a)	The type of weakness as set out in Article 4 paragraph 1;	(Pre-defined list, single choice) <input type="checkbox"/> Breach; <input type="checkbox"/> Potential breach; <input type="checkbox"/> Ineffective or inappropriate application.
7(b)	The reason for materiality as set out in Article 5;	a) The criteria that constitute the materiality as defined in Article 5 (pre-defined list, multiple choice); b) Other reason if not in the list of criteria (free text);
7(c)	The description of the material weakness;	Free text
7(d)	The corresponding situation where the weakness has occurred in accordance with Annex 1;	(Pre-defined list, multiple choice) in accordance with Annex 1 of the draft RTS For AML/CFT authorities, more details to be provided based on the list in Annex 1 Part 1 (pre-defined list, multiple choice). 1. Customer due diligence measures, including customer ML/TF risk assessments and the reliance on third parties and transaction monitoring; i. Existence and adequacy of the AML/CFT policies and procedures: 1. Existence and adequacy of the identification and verification policies and procedures;



		<ul style="list-style-type: none"> 2. Existence and adequacy of the policies and procedure to assess and obtain information on the purpose and intended nature of the business relationship; 3. Existence and adequacy of other policies and procedures (free text) ii. Effectiveness of the application of the identification and verification policies and procedures <ul style="list-style-type: none"> 1. Customer identification; 2. Customer verification; 3. Customer risk rating; 4. Remote onboarding; 5. Beneficial ownership identification; 6. Beneficial ownership verification; 7. Identification of politically exposed persons; 8. EDD in relation to politically exposed persons; 9. EDD in relation to correspondent banking relationships; 10. EDD with regard to high-risk third countries as defined in Article 9 AMLD; 11. The material weakness implied jurisdictions associated with a higher ML/TF risk as assessed by the financial sector operator; 12. Simplified due diligence. 13. Reliance on a third party; 14. Other (free text) iii. Transaction monitoring; <ul style="list-style-type: none"> 15. Existence and adequacy of the ongoing monitoring policies and procedures, including transaction monitoring; 16. Effectiveness of ongoing monitoring, including transaction monitoring. 17. EDD: complex transactions/unusually large transactions/conducted in an unusual pattern/do not have an apparent or economic lawful purpose; 18. Inappropriate management of risks arising from the characteristics of the products/services/delivery channels/geographic areas, type of customer (inadequacy of the risk-based approach applied);
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		<ul style="list-style-type: none"> 2. Suspicious transaction reporting; <ul style="list-style-type: none"> i. Existence and adequacy of suspicious transaction reporting policies and procedures; ii. Effectiveness of the suspicious transaction reporting: <ul style="list-style-type: none"> 1. Identification of STRs; 2. Quality of STRs; 3. Delays in reporting STRs; Average time to report STRs (free text/number) 4. Failure to report STRs; 5. Other (free text) 3. Record-keeping; <ul style="list-style-type: none"> i. Existence and adequacy of policies and procedures with regard to record-keeping; ii. Effectiveness of the record-keeping <ul style="list-style-type: none"> 1. Quality of record held; 2. Failure to keep record; 3. Retention period of the record; 4. Others (free text); 4. Internal AML/CFT systems and controls; <ul style="list-style-type: none"> i. Existence and adequacy of the internal control policies and procedures; ii. Effectiveness of the application of the internal control policies and procedures; iii. Adequacy of the governance structure including reporting lines and senior management responsibility <ul style="list-style-type: none"> 1. Independency of the compliance function; 2. Effectiveness of governance structure including reporting lines and senior management buy-in; 3. Senior management oversight; iv. Adequacy of AML/CFT human and material resources; v. Awareness of ML/TF risks, including availability and effectiveness of staff AML/CFT training; vi. Other (free text)
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		<p>5. Risk management system, including business-wide ML/TF risk assessments;</p> <ol style="list-style-type: none"> i. Existence of a business-wide risk assessment; ii. Adequacy of the business-wide risk assessment; iii. Timeliness of the business-wide risk assessment; iv. Quality of the business-wide risk assessment; v. Other (free text) <p>6. Group-wide policies and procedures, including policies for sharing information within the group.</p> <ol style="list-style-type: none"> i. Existence of the group-wide policies and procedures; ii. Adequacy of group-wide policies and procedures; iii. Effectiveness of group-wide policies and procedures; <ol style="list-style-type: none"> 1. Procedure for sharing information within the group for AML/CFT purposes; 2. Data protection policies and procedures; 3. Situation where the third country's law does not permit implementation of the policies and procedures (RTS on third countries). 4. With regard to another topic, to be specified (free text) <p>For prudential authorities, when the corresponding situations relate to natural persons, reporting is conducted in accordance with Annex 2 paragraph 1.</p>
7(e)	Timeline of the material weakness	<p>The starting date of the material weakness (pre-defined list, single choice):</p> <p><input type="checkbox"/> 'date'</p> <p><input type="checkbox"/> unknown;</p> <hr/> <p>The date on which the material weakness was known for the first time by the authority (detection date)</p> <hr/> <p>The current status of the material weakness (pre-defined list, single choice):</p> <p><input type="checkbox"/> The material weakness has terminated: 'end date';</p> <p><input type="checkbox"/> The material weakness is ongoing;</p> <p><input type="checkbox"/> Unknown.</p>



<p>7(f)</p>	<p>Identification of the origin of the information on the material weakness</p>	<p><input type="checkbox"/> The reporting authority</p> <ul style="list-style-type: none"> <input type="checkbox"/> Off-site monitoring; <ul style="list-style-type: none"> a) Date; b) Type (pre-defined list, single choice) <ul style="list-style-type: none"> <input type="checkbox"/> Regular off-site monitoring; <input type="checkbox"/> Schedule off-site review; <input type="checkbox"/> Ad hoc off-site review; <input type="checkbox"/> Off-site thematic review; <input type="checkbox"/> Off-site follow-up review; <input type="checkbox"/> AML/CFT returns (regular or ad hoc requests to financial sector operators for quantitative and qualitative data and information relating to key ML/TF risk indicators. AML/CFT returns are different from off-site inspections in that they are frequently automated and often not comprehensive. Their aim is often to help supervisors gain a better understanding of the ML/TF risks to which their sector is exposed, rather than to assess the adequacy of a financial sector operator's AML/CFT systems and controls). <input type="checkbox"/> Other (free text) <input type="checkbox"/> On-site inspection; <ul style="list-style-type: none"> a) Date; b) Type (pre-defined list, single choice) <ul style="list-style-type: none"> <input type="checkbox"/> Full-scope inspection; <input type="checkbox"/> Scheduled targeted inspection; <input type="checkbox"/> Ad hoc inspection; <input type="checkbox"/> Thematic inspection; <input type="checkbox"/> Follow-up inspection; <input type="checkbox"/> Inspections that include an AML/CFT element; <input type="checkbox"/> On-site engagements (other type of on-site engagements with a financial sector operator or the financial sector operator's key personnel either at the premises of the financial sector operator or at the competent authority. These engagements are likely to include bi-lateral meetings with the financial sector operator's personnel, which are scheduled in line with the risk-based
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		<p>approach. Such engagement is not part of the other type of on-site inspection.); <input type="checkbox"/> Other (free text).</p> <p><input type="checkbox"/> Authorisation procedure; <input type="checkbox"/> Passport notification; <input type="checkbox"/> Other (free text).</p> <p><input type="checkbox"/> Another authority (e.g. in the context of a college or, in general, as a result of cooperation and the exchange of information); <input type="checkbox"/> Financial Intelligence Unit (FIU); <input type="checkbox"/> Third party such as auditor; <input type="checkbox"/> Other law enforcement authorities; <input type="checkbox"/> Whistleblowing; <input type="checkbox"/> Breach reports from the public (including under article 23 of SSM Regulation); <input type="checkbox"/> Media report (to be specified, free text); <input type="checkbox"/> Any other credible source of information (free text).</p>
7(g)	The AML/CFT-related requirements to which the material weakness relates;	<p>References in the EU framework;</p> <p><input type="checkbox"/> Directive (EU) 2015/849 (AMLD); <input type="checkbox"/> Regulation (EU) 2015/847 on information accompanying transfers of funds (AMLR); <input type="checkbox"/> Directive (EU) 2015/2366 on payment services in the internal market (PSD 2); <input type="checkbox"/> Directive (EU) 2009/110 (EMD 2); <input type="checkbox"/> Directive (EU) 2009/138 on the taking-up and pursuit of the business of insurance and reinsurance (Solvency 2); <input type="checkbox"/> Directive (EU) 2013/36 (CRD); <input type="checkbox"/> Regulation (EU) 2019/876 (CRR); <input type="checkbox"/> Directive (EU) 2019/2034 (investment firms); <input type="checkbox"/> Deposit Guarantee Schemes Directive; <input type="checkbox"/> Directive (EU) 2014/65 (MiFID 2); <input type="checkbox"/> Directive (EU) 2009/65 of 13 July 2009 on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS); <input type="checkbox"/> Directive (EU) 2011/61 of 8 June 2011 on alternative investment fund managers; <input type="checkbox"/> Regulation (EU) No 345/2013 of 17 April 2013 on European venture capital funds; <input type="checkbox"/> Regulation (EU) No 346/2013 of 17 April 2013 on European social entrepreneurship funds; <input type="checkbox"/> Regulation (EU) 2015/760 of 29 April 2015 on European long-term investment funds; <input type="checkbox"/> Regulation (EU) 2017/1131 of 14 June 2017 on money market funds;</p>



		<input type="checkbox"/> Other (free text). References in the national framework (free text).
7(h)	the type of products, services or activities for which the financial sector operator has been authorised that are impacted by the material weakness;	The information regarding the type of products, services or activities impacted by the material weakness (pre-defined list, multiple choice) <input type="checkbox"/> Correspondent banking; <input type="checkbox"/> Retail banking; <input type="checkbox"/> Electronic money; <input type="checkbox"/> Money remittance; <input type="checkbox"/> AIS and PIS; <input type="checkbox"/> Other payment services as referred to in Annex I to PSD2 (free text); <input type="checkbox"/> Wealth management; <input type="checkbox"/> Asset management; <input type="checkbox"/> Trade finance; <input type="checkbox"/> Life insurance; <input type="checkbox"/> Investments firms; <input type="checkbox"/> Crowdfunding; <input type="checkbox"/> Currency exchange; <input type="checkbox"/> Corporate finance; <input type="checkbox"/> Other (free text). The activity (activities)/service(s) for which the financial sector operator has been authorised which is (are) the subject of the material weakness: (free text).
7(i)	Whether the material weakness concerns the financial sector operator, branch or agent or the distributor alone, as well as any cross-border impact of the material weakness	(Pre-defined list, single choice) The material weakness concerns the financial sector operator, branch, agent or distributor alone; <input type="checkbox"/> Yes; <input type="checkbox"/> No Any cross-border impact of the weakness: other Member States/third countries that may be impacted (pre-defined list, multiple choice)
7(j)	Whether information on the material weakness has been communicated to a college that has been	If the competent authority participates in a college, whether the information about the material weakness has already been communicated to that college



	established for the group where the financial sector operator belongs; if not communicated yet: the reason why;	<input type="checkbox"/> Yes; <input type="checkbox"/> No If no, the reason why (free text)
7(k)	for the host AML/CFT competent authorities: whether the information on the material weakness has been communicated to the home AML/CFT competent authority or to the central contact point as referred to in Article 45(9) of Directive (EU) 2015/849 where applicable; if not communicated yet: the reason why;	For the host AML/CFT authority: a) Has the material weakness reported under this Regulation already been notified to the home AML/CFT competent authority? <input type="checkbox"/> Yes; <input type="checkbox"/> No If no, the reason why. b) To the central contact point, where there is one? <input type="checkbox"/> Yes; <input type="checkbox"/> No. If no, the reason why.
7(l)	Whether the material weakness appears to be inherent in the design of that particular product, service or activity;	<input type="checkbox"/> Yes; If 'yes' selected: name of the product/service/activity and description of the characteristics (free text) <input type="checkbox"/> No
7(m)	Whether the material weakness appears to be linked with specific natural persons, whether a client, a beneficial owner, a member of the management body or key function holder, including reasoning thereof; any reporting on natural persons shall be made in accordance with Annex 2	Annex 2 of the draft RTS
7(n)	Any contextual or background information with regard to the material weakness, where known by the competent authority, including; a) whether the material weakness is linked with a specific area relevant for AML/CFT already identified by the EBA;	Evolving list that will be elaborated by the EBA based on the areas it will have identified (pre-defined list with multiple choice) <i>Examples of risks previously identified in the Opinion on ML/TF risk: de-risking, tax-related crime, ML/TF risk arising as a result of COVID-19, risk associated with terrorist financing</i>



	b) for the AML/CFT authorities, whether the material weakness points to a ML/TF emerging risk (emerging risks include new risks that have not been identified before and existing risks that have significantly increased or taken on new significance);	<input type="checkbox"/> Yes; If yes selected: name of this emerging risk (free text) <input type="checkbox"/> No
	c) whether the material weakness is linked to the use of new technology and a short description of the technology employed;	<input type="checkbox"/> Yes; If yes selected: short description of the technology employed (free text) <input type="checkbox"/> No
Article 8 Type of information transmitted in relation to measures taken in response to material weaknesses		
8(a)	A reference to the material weakness in relation to which the measure has been taken, and any necessary update of the information provided in accordance with Article 7;	a) The reference communicated by the EBA of the material weakness previously submitted (where applicable); b) Any update of the information communicated about the weakness for the purpose of Article 7 of the RTS, if necessary
8(b)	The date of the imposition of the measure(s);	Date
8(c)	The type of measure, its internal reference number and link to it if published;	The type of measure(s) taken: The type of measure(s) taken concerning the financial sector operator/branch/agent and distributor or any other legal person that is part of the financial sector operator/branch/agent and distributor (where applicable) (pre-defined list, multiple choice) <ul style="list-style-type: none"> <input type="checkbox"/> Warning; <input type="checkbox"/> Reprimand; <input type="checkbox"/> Restriction of business relationships with certain customers; <input type="checkbox"/> Restriction of carrying out certain transactions;



		<ul style="list-style-type: none"> <input type="checkbox"/> Capital add-ons; <input type="checkbox"/> Full withdrawal of authorisation; <input type="checkbox"/> Restriction of activities; <ul style="list-style-type: none"> ✓ Temporary ✓ Permanent <input type="checkbox"/> Public statement; <input type="checkbox"/> Cease and desist order (order to cease the conduct or to desist from repetition of that conduct); <input type="checkbox"/> Order to comply; <input type="checkbox"/> Order to implement measures; <input type="checkbox"/> Order to put in place a remediation plan; <input type="checkbox"/> Fines/administrative pecuniary sanctions. In this case: amount for the fines/administrative pecuniary sanctions; <input type="checkbox"/> Business suspension orders; <input type="checkbox"/> Temporary suspension (or resignation) of one or several member(s) of the management body (executive functions); <input type="checkbox"/> Deregistration of a financial sector operator; <input type="checkbox"/> Suspension of the authorisation; <input type="checkbox"/> Withdrawal of authorisation; <input type="checkbox"/> Other to specify (free text). <p>The type of measure(s) taken concerning members of the management body or of any other natural person, including a natural person acting on behalf of a financial sector operator/branch/agent and distributor (pre-defined list, multiple choice):</p> <ul style="list-style-type: none"> <input type="checkbox"/> In the case of fines/administrative pecuniary sanctions: amount in euros; <input type="checkbox"/> Temporary suspension of one or several member(s) of the management body (executive functions); <input type="checkbox"/> Reprimand; <input type="checkbox"/> Warning; <input type="checkbox"/> Removal of one or several member(s) of the management body; <input type="checkbox"/> Other (free text). <p>Internal reference of the measure(s) (free text).</p> <p>Link to the text of the measure(s) when published (free text).</p>
8(d)	Full information as to the legal and natural persons	The reporting on natural person shall be made in accordance with Annex 2.



	<p>which the measure concerns; any reporting on natural persons shall be made in accordance with Annex 2;</p>	<p>With regard to the function in the financial sector operator/branch/agent and distributor as specified in Annex 2 for natural persons (pre-defined list, single choice);</p> <ul style="list-style-type: none"> <input type="checkbox"/> Member of the management body; <input type="checkbox"/> AML/CFT compliance officer at management level; <input type="checkbox"/> Key function holders; <input type="checkbox"/> Shareholders; <input type="checkbox"/> Agent; <input type="checkbox"/> Distributor; <input type="checkbox"/> Other (free text). <p>Information regarding the legal persons</p> <ul style="list-style-type: none"> a) Legal name; b) Commercial name (if different from the legal name); c) Address <ul style="list-style-type: none"> a) Street address; b) Postcode; c) City; d) Country (pre-defined list, single choice) d) Entity identifier <ul style="list-style-type: none"> a) Legal entity identifier (LEI), if available; A code that allows legally distinct entities that engage in financial transactions to be uniquely identified b) The national identifier
<p>8(e)</p>	<p>A description of the measure taken including its legal basis;</p>	<p>The description of the measures taken (free text).</p> <hr/> <p>The legal basis</p> <ul style="list-style-type: none"> a) The legal basis that gave the CAs the power to impose the measures (EU); b) The requirements concerned by the measure taken (only if different from what has already been reported under the material weakness), data points listed for the purpose of Article 7 (g).
<p>8(f)</p>	<p>The status of the measure, including whether any appeal has been brought against the measure;</p>	<ul style="list-style-type: none"> a) Subject to an internal appeal (internal appeal: appeal within the competent authority, different from the contradictory process) <ul style="list-style-type: none"> <input type="checkbox"/> Not applicable;



		<input type="checkbox"/> Yes; <input type="checkbox"/> No; <input type="checkbox"/> Partial (free text to explain) b) Subject to an external appeal (tribunal/court) <input type="checkbox"/> Yes; <input type="checkbox"/> No; <input type="checkbox"/> Partial (free text). c) Effect of this appeal : suspension of the decision taken <input type="checkbox"/> Yes; <input type="checkbox"/> No d) Outcome of the appeal (if applicable and decision already taken at the time of the reporting of the measure) i. Internal appeal 1. Decision and rationale (free text); 2. Date ii. External appeal (i.e. tribunal/courts) 3. Decision and rationale (free text); 4. Date e) Unknown at the time of the reporting.
8(g)	Whether and how the measure has been published, including reasoning for any anonymous publication, delay in publication or non-publication;	(Pre-defined list, multiple choice) <input type="checkbox"/> Full publication; <input type="checkbox"/> Publication on an anonymous basis; If selected: a) Type of anonymity: <input type="checkbox"/> Anonymity of the financial sector operator; <input type="checkbox"/> Anonymity of the natural person; b) Reason for anonymous publication (pre-defined list, multiple choice): <input type="checkbox"/> Disproportionate damage; <input type="checkbox"/> Jeopardise ongoing investigation; <input type="checkbox"/> Jeopardise the stability of the financial markets <input type="checkbox"/> Delay in publication; If selected: a) Reason for the delay in publication (pre-defined list, multiple choice): <input type="checkbox"/> Disproportionate damage;



		<input type="checkbox"/> Jeopardise ongoing investigation; <input type="checkbox"/> Jeopardise the stability of the financial markets b) Time period by which the publication is delayed (free text) <input type="checkbox"/> Non-publication; Reason for which the measure is not published <input type="checkbox"/> Disproportionate damage; <input type="checkbox"/> Jeopardise ongoing investigation; <input type="checkbox"/> Jeopardise the stability of the financial markets <input type="checkbox"/> Other (free text)
8(h)	All information relevant to the remediation of the material weakness that the measure concerns, including any action planned or taken for such remediation, any additional information necessary and the relevant timeline;	a) The action planned or taken for the remediation (pre-defined list, multiple choice) <input type="checkbox"/> Warning; <input type="checkbox"/> Follow up inspection; <input type="checkbox"/> Thematic inspection; <input type="checkbox"/> Enhanced reporting; <input type="checkbox"/> Full-scope on-site inspection; <input type="checkbox"/> Regular written updates from the financial sector operator/ branch/agent and distributor on its remediation plan (or follow-up letter); <input type="checkbox"/> Enhanced written engagement with the financial sector operator/ branch/agent and distributor; <input type="checkbox"/> Reliance on the financial sector operator to implement the remediation plan; <input type="checkbox"/> Regular meetings with the financial sector operator/ branch/agent and distributors; <input type="checkbox"/> Off-site inspection; <input type="checkbox"/> Recommendation; <input type="checkbox"/> No further engagement with the financial sector operator/branch/agent or distributor; <input type="checkbox"/> Others (free text). b) Additional explanations on the remediation process (if this appears necessary to the competent authority/non-mandatory: free text). c) Timeline for remediation as described in a) (free text with date(s) and/or period (s) of time, if already decided).
8(i)	whether the information on the measure has been communicated to a college that has been established for the group where the financial sector operator belongs; if not communicated yet: the reason why;	If the competent authority participates in a college, whether the information on the measure taken has already been communicated to that college <input type="checkbox"/> Yes; <input type="checkbox"/> No. If no, the reason why.



8(j)	For the host AML/CFT competent authorities: whether information on the measure has been communicated to the home AML/CFT competent authority; if not communicated yet: the reason why.	The measures taken have already been notified to the home AML/CFT competent authority: <input type="checkbox"/> Yes; <input type="checkbox"/> No If no, the reason why.
Article 9 Timelines and obligation to provide updates		
9(5)	Competent authorities shall provide in due time all the information necessary to keep the EBA informed about any subsequent developments relating to the information provided, including information related to the material weakness identified or to the measure taken and its remediation.	a) Subsequent developments regarding the general information submitted for the purpose of Article 6; b) Subsequent developments regarding the material weakness; Any substantive additional/new developments (free text) and date (including the end date of the material weakness if this is the case); c) Subsequent developments regarding the measures taken: <ol style="list-style-type: none"> 1. Update regarding the remediation; With regard to the action taken by the competent authority as described regarding the purpose of Article 8 (h), including challenges encountered and the outcome of the remediation (adequacy and effectiveness of the financial sector operator/branch/agent and distributor remediation effort) (free text). 2. Update with regard to an appeal process, (if applicable): <ol style="list-style-type: none"> i. Internal appeal <ol style="list-style-type: none"> 1. Decision and rationale (free text); 2. Date ii. External appeal (i.e. tribunal/courts) <ol style="list-style-type: none"> 3. Decision and rationale (free text); 4. Date
Article 11 Making information available		



<p>11(2) and (3)</p>	<p>The request referred to in point (a) of paragraph 1 shall identify the requesting competent authority and the authority enabling the indirect submission where appropriate, as well as the financial sector operator concerned by the request, and shall specify whether the request concerns the financial sector operator or a natural person; why the information is relevant for the requesting authority and its supervisory activities with regard to the prevention of the use of the financial system for the purpose of money laundering or terrorist financing; what the intended use of the requested information is; the date by which the information should be received, if any; whether there is a degree of urgency and relevant justifications for both, as well as any additional information that may assist or is requested by the EBA while processing the request.</p> <p>Requests and making information available shall be made in accordance with Annex 2 where natural persons are concerned.</p>	<p>a) The information to identify the requesting competent authority and the authority enabling the indirect submission, where appropriate, as per Article 6(a);</p> <p>b) The information to identify the financial sector operator concerned as per Article 6(b) (but not all fields are mandatory);</p> <p>c) The type of request: <input type="checkbox"/> Information related to a financial sector operator; <input type="checkbox"/> Information related to a natural person</p> <hr/> <p>The information to communicate for a request related to a financial sector operator:</p> <p>a) Why the information is relevant for the requesting authority and its supervisory activities with regard to prevention of the use of the financial system for the purpose of money laundering or terrorist financing and what the intended use of the requested information is (free text)</p> <p>b) The categories of requests (pre-defined list, single choice):</p> <ul style="list-style-type: none"> i. For carrying out on-site and off-site supervisory activities; ii. For the taking of a measure; iii. For the assessment of authorisation, acquisition or assessment of qualifying holdings, suitability of key function holders; iv. For the withdrawal of authorisation; v. To assess the ML/TF risk associated with applications for the right of establishment and freedom to provide services; vi. Other (free text) <hr/> <p>a) The information to communicate for a request related to a natural person shall be made in accordance with Annex 2 (but not all fields are mandatory)</p> <p>b) The categories of request about a natural person (pre-defined list, single choice):</p> <ul style="list-style-type: none"> i. Fit and proper assessment; ii. Key function holders assessment; iii. Information about a customer/BO; iv. Other (free text) <hr/> <p>a) The date by which the information is necessary (if any) and justification for the date (mandatory if a date is mentioned/free text);</p> <p>b) Degree of urgency</p>
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		<input type="checkbox"/> Yes; If 'yes' selected, justification for the urgency (free text). <input type="checkbox"/> No
		Any additional information that may assist the EBA in processing the request (free text/not mandatory)
Article 12 Articulation with other notifications		
12(1)	An AML/CFT competent authority submitting information on a measure in accordance with this Regulation shall be deemed as also submitting the notification referred to in Article 62 of Directive (EU) 2015/849 with regard to that measure.	Whether the AML/CFT competent authority submitting information on a measure in accordance with this Regulation also falls within the scope of the notification referred to in Article 62 of Directive (EU) 2015/849 for the purpose of that measure. <input type="checkbox"/> Yes <input type="checkbox"/> No
12(2)	An AML/CFT or a prudential competent authority submitting information under this Regulation shall specify with its submission whether it has already submitted a notification under Article 97 (6) of Directive (EU) 2013/36.	For an AML/CFT or a prudential competent authority submitting information under this Regulation, whether it has already submitted a notification under Article 97 (6) of Directive (EU) 2013/36: <input type="checkbox"/> Yes <input type="checkbox"/> No
Article 13 Practical implementation of the information collection		
13(6)	Additional information set out in the penultimate subparagraph of point (a) of Article 9a (1) of Regulation 1093/2010 includes – for the AML/CFT competent authority – the current ML/TF risk profile of the group if any, the ML/TF risk assessments of the financial sector operator, branch, agent or distributor	a) Additional information: Free text, including explanation of the relevance of the additional information b) Supporting documents: Option to upload a document, summary of the document, free text to explain the relevance of it



	<p>or of the group; any information or document not referred to in this Regulation relevant for any material weakness or measure shall be provided by the competent authority with an explanation of such relevance;</p>	
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