

JOINT COMMITTEE OF THE EUROPEAN
SUPERVISORY AUTHORITIES**ANNEX I****Templates for the reporting of major incidents**

Number of field	Data field	
General information about the financial entity		
1.1	Type of report	
1.2	Name of the entity submitting the report	
1.3	Identification code of the entity submitting the report	
1.4	Type of the affected financial entity	
1.5	Name of the financial entity affected	
1.6	LEI code of the financial entity affected	
1.7	Primary contact person name	
1.8	Primary contact person email	
1.9	Primary contact person telephone	
1.10	Second contact person name	
1.11	Second contact person email	
1.12	Second contact person telephone	
1.13	Name of the ultimate parent undertaking	
1.14	LEI code of the ultimate parent undertaking	
1.15	Reporting currency	
Content of the initial notification		
2.1	Incident reference code provided by the financial entity	
2.2	Date and time of detection of the incident	
2.3	Date and time of classification of the incident as major	
2.4	Description of the incident	

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Number of field	Data field	
2.5	Classification criteria that triggered the incident report	
2.6	Materiality thresholds for the classification criterion 'Geographical spread'	
2.7	Discovery of the incident	
2.8	Indication whether the incident originates from a third-party provider or another financial entity	
2.9	Activation of business continuity plan, if activated	
2.10	Other information	
Content of the intermediate report		
3.1	Incident reference code provided by the competent authority	
3.2	Date and time of occurrence of the incident	
3.3	Date and time when services, activities and/or operations have been restored	
3.4	Number of clients affected	
3.5	Percentage of clients affected	
3.6	Number of financial counterparts affected	
3.7	Percentage of financial counterparts affected	
3.8	Impact on relevant clients or financial counterparts	
3.9	Number of affected transactions	
3.10	Percentage of affected transactions	
3.11	Value of affected transactions	
3.12	Information whether the numbers are actual or estimates, or whether there has not been any impact	
3.13	Reputational impact	
3.14	Contextual information about the reputational impact	
3.15	Duration of the incident	
3.16	Service downtime	
3.17	Information whether the numbers for duration and service downtime are actual or estimates.	
3.18	Types of impact in the Member States	

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Number of field	Data field	
3.19	Description of how the incident has an impact in other Member States	
3.20	Materiality thresholds for the classification criterion 'Data losses'	
3.21	Description of the data losses	
3.22	Classification criterion 'Critical services affected'	
3.23	Type of the incident	
3.24	Other types of incidents	
3.25	Threats and techniques used by the threat actor	
3.26	Other types of techniques	
3.27	Information about affected functional areas and business processes	
3.28	Affected infrastructure components supporting business processes	
3.29	Information about affected infrastructure components supporting business processes	
3.30	Impact on the financial interest of clients	
3.31	Reporting to other authorities	
3.32	Specification of 'other' authorities	
3.33	Temporary actions/measures taken or planned to be taken to recover from the incident	
3.34	Description of any temporary actions and measures taken or planned to be taken to recover from the incident	
3.35	Indicators of compromise	
Content of the final report		
4.1	High-level classification of root causes of the incident	
4.2	Detailed classification of root causes of the incident	
4.3	Additional classification of root causes of the incident	
4.4	Other types of root cause types	
4.5	Information about the root causes of the incident	



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Number of field	Data field	
4.6	Incident resolution summary	
4.7	Date and time when the incident root cause was addressed	
4.8	Date and time when the incident was resolved	
4.9	Information if the permanent resolution date of the incident differs from the initially planned implementation date	
4.10	Assessment of risk to critical functions for resolution purposes	
4.11	Information relevant for resolution authorities	
4.12	Materiality threshold for the classification criterion 'Economic impact'	
4.13	Amount of gross direct and indirect costs and losses	
4.14	Amount of financial recoveries	
4.15	Information whether the non-major incidents have been recurring	
4.16	Date and time of occurrence of recurring incidents	