

**TECHNICAL STANDARDS (FORMAT OF APPLICATIONS FOR  
REGISTRATION OF SECURITISATION REPOSITORIES) INSTRUMENT 2020**

**Powers exercised**

- A. The Financial Conduct Authority (“FCA”), being the appropriate regulator within the meaning of the Financial Regulators’ Powers (Technical Standards etc.) (Amendment etc) (EU Exit) Regulations 2018 (“the Regulations”), with the approval of the Treasury, makes this instrument in exercise of the powers conferred by regulation 3 of the Regulations.

**Pre-conditions to making**

- B. The FCA is the appropriate regulator for the EU Regulations specified in Part 1 of the Schedule to the Regulations.
- C. The FCA has consulted the Prudential Regulation Authority (“PRA”) and the Bank of England as appropriate in accordance with regulation 5 of the Regulations.
- D. A draft of this instrument has been approved by the Treasury, the Minister considering that it makes appropriate provision to prevent, remedy or mitigate any failure of retained EU law to operate effectively, or any other deficiency in retained EU law, arising from the withdrawal of the United Kingdom from the European Union.

**Interpretation**

- E. Any reference in this instrument to any EU Regulation or EU tertiary legislation (within the meaning of section 20 of the European Union (Withdrawal) Act 2018) is, unless the contrary intention appears, to be treated as a reference to that EU regulation or EU tertiary legislation which is part of UK law by virtue of the European Union (Withdrawal) Act 2018).

**Modification**

- D. Commission Implementing Regulation (EU) 2020/1228 of 29 November 2019 laying down implementing technical standards with regard to the format of applications for registration as a securitisation repository or for extension of a registration of a trade repository pursuant to Regulation (EU) 2017/2402 of the European Parliament and of the Council is amended in accordance with the Annex to this instrument.

**Commencement**

- G. This instrument comes into force on IP completion day, as defined in the European Union (Withdrawal Agreement) Act 2020.

**Citation**

H. This instrument may be cited as the Technical Standards (Format of Applications for Registration of Securitisation Repositories) Instrument 2020.

By order of the Board  
10 December 2020

In this instrument, underlining indicates new text and striking through indicates deleted text.

## Annex

### COMMISSION IMPLEMENTING REGULATION (EU) 2020/1228 of 29 November 2019 laying down implementing technical standards with regard to the format of applications for registration as a securitisation repository or for extension of a registration of a trade repository pursuant to Regulation (EU) 2017/2402 of the European Parliament and of the Council

~~(Text with EEA relevance)~~

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#### Article -1

#### **Interpretation**

Where a term in this Regulation is defined in Regulation (EU) 2017/2402 of the European Parliament and of the Council of 12 December 2017 laying down a general framework for securitisation and creating a specific framework for simple, transparent and standardised securitisation, and amending Directives 2009/65/EC, 2009/138/EC and 2011/61/EU and Regulations (EC) No 1060/2009 and (EU) No 648/2012, that definition shall apply for the purposes of this Regulation unless the contrary intention appears.

#### Article 1

#### **Format of the application for registration and extension of registration**

1. Applicants for registration as a securitisation repository under Article 10(5)(a) of Regulation (EU) 2017/2402 shall complete the formats set out in Annex 1 to this Regulation.
2. Trade repositories applying for an extension of registration under Article 10(5)(b) of Regulation (EU) 2017/2402 shall complete the formats set out in Annex 2 to this Regulation.
3. For the purposes of paragraphs 1 and 2, the applications shall be submitted:
  - (a) ~~In a durable medium as defined in Article 2(1)(m) of Directive 2009/65/EC of the European Parliament and of the Council~~ in an instrument which enables the recipient to store information addressed personally to the recipient in a way accessible for future reference for a period of time adequate for the purposes of the information and which allows the unchanged reproduction of the information stored;
  - (b) with a unique reference number assigned to each document included in the application.

#### Article 2

#### **Entry into force**

~~This Regulation shall enter into force on the twentieth day following that of its publication in the Official Journal of the European Union.~~

~~This Regulation shall be binding in its entirety and directly applicable in all Member States.~~

~~Done at Brussels, 29 November 2019~~

~~For the Commission~~

~~The President~~

~~Jean-Claude Juncker~~

## ANNEX I

### Formats for an application for registration as a securitisation repository

Table 1: General information

GENERAL INFORMATION	
Date of application	
Corporate name of securitisation repository	
Place of incorporation and scope of business activity	
Legal entity identifier (LEI) registered with the Global Legal Entity Identifier Foundation	
Legal address of the securitisation repository	
Legal address of any subsidiaries of the securitisation repository	
Legal address of any branches of the securitisation repository	
Uniform resource locator (URL) of the securitisation repository's website	
The securitisation types, risk transfer methods and underlying exposure types for which the applicant repository is applying to be registered	
<del>If the applicant is authorised or registered by a competent authority in the Member State where it is established in the United Kingdom, the name of the authority and any reference number related to the authorisation or registration</del>	
Name of the person(s) responsible for the application	
Contact details of the person(s) responsible for the application	
Name of person(s) responsible for the securitisation repository compliance (or any other staff involved in compliance assessments for the securitisation repository)	

Contact details of the person(s) responsible for the securitisation repository compliance, or any other staff involved in compliance assessments for the securitisation repository, in relation to its provision of core securitisation services	
Name of any parent undertaking	
LEI registered with the Global Legal Entity Identifier Foundation of any parent undertaking	
Legal address of any parent undertaking	
Name of the responsible supervisory authority for any parent undertaking	
Reference number with the responsible supervisory authority for any parent undertaking	
Name of any ultimate parent undertaking	
LEI registered with the Global Legal Entity Identifier Foundation of any ultimate parent undertaking	
Legal address of any ultimate parent undertaking	
Name of the responsible supervisory authority for any ultimate parent undertaking	
Reference number with the responsible supervisory authority for any ultimate parent undertaking	

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## ANNEX II

**Formats for an application of a trade repository for extension of registration**

Table 1: General information

GENERAL INFORMATION	
Date of application	
Date of registration of the applicant as a trade repository	
Corporate name of securitisation repository	
Legal entity identifier (LEI) registered with the Global Legal Entity Identifier Foundation	
Legal address of the securitisation repository	
Legal address of any subsidiaries of the securitisation repository	
Legal address of any branches of the securitisation repository	
Uniform resource locator (URL) of the securitisation repository's website	
Legal Entity Identifier (LEI) registered with the Global Legal Entity Identifier Foundation	
The securitisation types, risk transfer methods and underlying exposure types for which the applicant repository is applying to be registered	
If the applicant is authorised or registered by a competent authority in the Member State where it is established in the United Kingdom, the name of the authority and any reference number related to the authorisation or registration	
Name of the person(s) responsible for the application	
Contact details of the person(s) responsible for the application	
Name of person(s) responsible for the securitisation repository compliance, or any other staff involved in compliance assessments for the securitisation repository, in relation to its provision of core securitisation services	
Contact details of the person(s) responsible for the securitisation repository compliance (or any other staff involved in compliance assessments for the securitisation repository)	

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