

Chapter 4

Commission Delegated Regulation (EU) No 449/2012

Article 8 Owners and parent undertaking of
a credit rating agency

(1) A credit rating agency shall provide the FCA with:

- (a) a list of each person who directly or indirectly holds 5 % or more of the credit rating agency's capital or of voting rights or whose holding makes it possible to exercise a significant influence over the management of the credit rating agency;
- (b) the information set out in points 1 and 2 of Annex III in relation to each such person.

(2) A credit rating agency shall also provide the following information to the FCA:

- (a) a list of any undertakings in which a person referred to in paragraph 1 holds 5 % or more of the capital or voting rights or over whose management that person exercises a significant influence;
- (b) an identification of their business activity referred to in point 3 of Annex III.

(3) Where a credit rating agency has a parent undertaking, it shall:

- (a) identify the country where the parent undertaking is established;
- (b) indicate whether the parent undertaking is authorised or registered and subject to supervision.