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**13 June 2006**

### **Instructions for completing the AMA requirements list**

The contents of the AMA requirements list are based on the Solvency Regulation (*Solvabilitätsverordnung*), which governs the use of an AMA to calculate the capital charge for operational risk.

The AMA requirements list consists of a general part for details about the institution and a five-column table. The first three columns (number, reference, requirements) are standardised. The remaining columns are for details to be provided by the institution. The AMA requirements list is broken down into three topic areas.

The completed AMA requirements list is to be submitted electronically in triplicate using standard media. They need to be labelled with the name of the institution and the date of the application. The list is to be saved under the file name "Name Anforderungsliste AMA.doc". "Name" is where the institution's designation goes.

In the following, the individual elements of the AMA requirements list and notes regarding processing are explained.

### **General information**

The AMA requirements list must contain the designation of the institution or group of institutions or the financial holding company for which AMA information is being provided as well as the contact person and his/her deputy responsible for queries concerning the details and the documents submitted.

### **Table columns**

Notes on the individual table columns are given below. The designation of the column always precedes the notes.

## **Number**

Row numbers are standardised.

## **Reference**

The relevant sections of the draft Solvency Regulation of 31 March 2006 to which the column 3 requirements refer are listed in the column headed "Reference". Information on explanatory notes to the Solvency Regulation will be added once it has been published.

## **Requirements**

The individual requirements are derived from the draft Solvency Regulation. They cover all approval-related criteria on which comment is to be passed. The requirements are given in keyword form. The source for each requirement is listed in the "Reference" column.

## **Brief description**

Each line of the AMA requirements list needs to be completed. The information has to be sufficiently comprehensive and precise to enable an assessment of whether the requirements of the Solvency Regulation are met.

Where the information for a question can be derived directly from the appended documentation, the brief description may be confined to a summary description of implementation, outlining the key aspects.

## **Reference to documentation**

The information contained in the brief description should generally be sufficient for an initial assessment of the facts at hand. For some situations, however, additional documentation needs to be submitted. In such cases, reference is to be made to the appended documentation, giving the name of the document, the section/chapter number and the page reference. The AMA guidelines contain additional documentation requirements which could overlap with the information required by the AMA requirements list.