AnaCredit reporting template for counterparty reference data

Versions

Version	Date	Description of changes since the previous version
1	18 July 2016	Initial publication
2	9 Sep 2016	Addition of the following data attributes to the five tables: . "Type of head office undertaking identifier"
		 "Type of immediate parent undertaking identifier"
		· "Type of ultimate parent undertaking identifier"
3	14.10.2016	An error was corrected that occurred during the creation of the PDF file. The headers of sections 2 and 3 have disappeared. This has been corrected.
4	19.04.2017	In table 1 we added a remark to the document "Erläuterungen zu den Meldeinhalten"
5	30.06.2017	Reporting requirements for institutions reporting according to § 24 KWG (German Banking Act) were further specified
		The reporting of national and further (optional) identifiers was aligned with the Bundesbank's technical reporting template.

AnaCredit reporting template for counterparty reference data (Version 4)

Counterparty reference data

As a general rule

For **a single** counterparty, only **one** data record is to be transmitted per reporting agent, regardless of how many different roles (debtor, protection provider etc) the counterparty fulfils. Should a counterparty fulfil multiple roles, the most onerous, ie the most onerous reporting obligation applies.

Only institutes that already hand in reports according to §24 KWG (German law) about their own institute to the Bundesbank are exempt from the requirement of the "most onerous" reporting. Only for reporting agents in table 1 Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state the accounting standard has to be reported. Further information on this topic can be found in the document "Erläuterungen zu den Meldeinhalten".

Reduced reporting obligations apply to small reporting agents that are granted a derogation. The Bundesbank issues an official notification to any reporting agents subject to these reduced reporting requirements. These reporting agents are not required to report certain individual data attributes. The specific reduced requirements are shown in the individual tables.

For reasons of clarity, Table 2 of Annex III of the AnaCredit Regulation has been divided into five separate tables. In terms of content, the tables still contain all the information in Table 2 of Annex III where all functional roles are presented in one table.

² For reasons of clarity, Table 3 of Annex III of the AnaCredit Regulation has been divided into five separate tables. In terms of content, the tables still contain all the information in Table 3 of Annex III where all functional roles are presented in one table.

See "Technische Spezifikation der Stamm- und Kreditdatenmeldungen für AnaCredit an die Bundesbank", list of attributes of counterparty reference data

1. Reporting obligations for the reference data of reporting- and observed agents.

As at end	
Reporting agent identifier	
Attribute does not require reporting	
Attribute requires reporting	
Attribute does not require reporting by small reporting agents (a	s defined above)

	Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state. I I	
	Reporting agent	Observed agent
Type of counterparty identifier		
Counterparty identifier		
Legal Entity Identifier (LEI)		
Type of national identifier		
National identifier (from ECB's list of national identifiers)		
1st type of Identifier (optional, if more identifiers are available)		
1st identifier (optional, if available - from the list published by Bundesbank) 3		
n-th type of Identifier (optional, if more identifiers are available)		
n-th identifier (optional, if available - from the list published by Bundesbank) 3		
Type of head office undertaking identifier		
Head office undertaking identifier		
Type of immediate parent undertaking identifier		
Immediate parent undertaking identifier		
Type of ultimate parent undertaking identifier		
Ultimate parent undertaking identifier		
Name		
Address: street		
Address: city/town/village		
Address: county/administrative division		
Address: postal code		
Address: country		
Legal form		
Institutional sector		
Economic activity		
Status of legal proceedings		
Date of initiation of legal proceedings		
Enterprise size		
Date of enterprise size		
Number of employees		
Balance sheet total		
Annual turnover		
Accounting standard		

Reporting obligations relating to counterparty reference data for counterparties not resident in a reporting member state. ²				
Reporting agent	Observed agent			

2. Reporting obligations for the reference data of the debtor

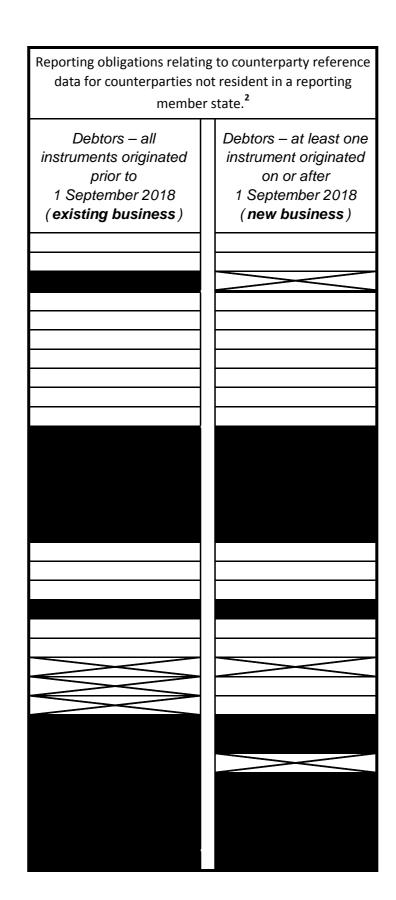
As at end	
Reporting agent identifier	

Attribute does not require reporting

Attribute requires reporting

Attribute does not require reporting by small reporting agents (as defined above)

	Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state. I		
	Debtors – all instruments originated prior to 1 September 2018 (existing business)	Debtors – at least one instrument originated on or after 1 September 2018 (new business)	
Type of counterparty identifier			
Counterparty identifier			
Legal Entity Identifier (LEI)			
Type of national identifier			
National identifier (from ECB's list of national identifiers)			
1st type of Identifier (optional, if more identifiers are available)			
1st identifier (optional, if available - from the list published by Bundesbank) 5			
n-th type of Identifier (optional, if more identifiers are available)			
n-th identifier (optional, if available - from the list published by Bundesbank) 5			
Type of head office undertaking identifier			
Head office undertaking identifier			
Type of immediate parent undertaking identifier			
Immediate parent undertaking identifier			
Type of ultimate parent undertaking identifier			
Ultimate parent undertaking identifier			
Name			
Address: street			
Address: city/town/village			
Address: county/administrative division			
Address: postal code			
Address: country			
Legal form			
Institutional sector			
Economic activity			
Status of legal proceedings		> <	
Date of initiation of legal proceedings		> <	
Enterprise size		\geq	
Date of enterprise size			
Number of employees			
Balance sheet total			
Annual turnover			
Accounting standard			

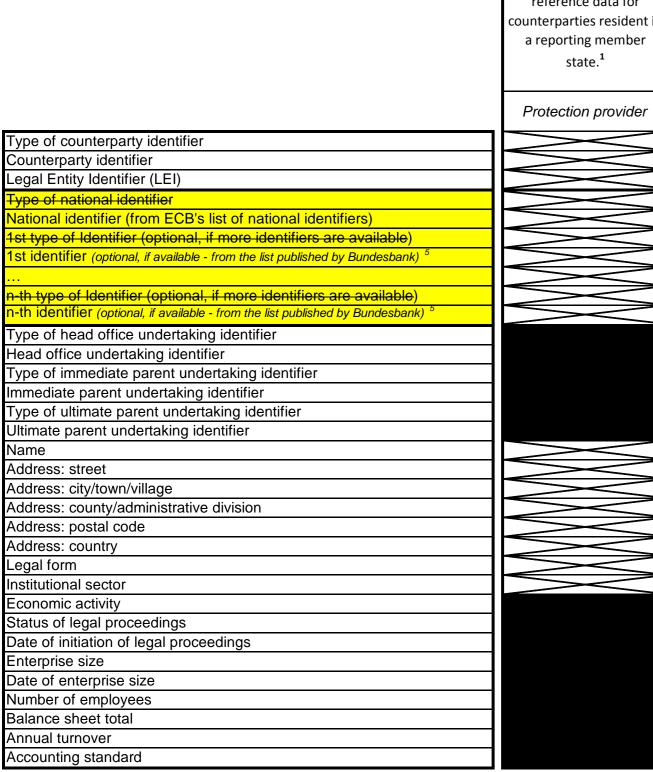


3. Reporting obligations for the reference data of the protection provider

As at end	
Reporting agent identifier	

Attribute does not require reporting Attribute requires reporting Attribute does not require reporting by small reporting agents (as defined above)

> Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member



Reporting obligations relating to counterparty reference data for counterparties not resident in a reporting member state.2 Protection provider

4. Reporting obligations for the reference data of the corportate strucutre

If the head office undertaking identifier, the immediate parent undertaking identifier and the ultimate parent undertaking identifier are to be reported for a debtor (see above), then the following data records are to be submitted.

As at end	
Reporting agent identifier	
Attribute does not require reporting	
Attailente negurine negurine	

Attribute does not require reporting by small reporting agents (as defined above)

	Reporting obligations relating to counterparty reference data for			Reporting obligations relating to counterparty reference data for		
	counterparties resident in a reporting member state.1			counterparties not resident in a reporting member state. ²		
	Head offices of					
	undertakings	Immediate parent	Ultimate parent	Head offices of	Immediate parent	Ultimate parent
	(prerequisite: that it is a	undertakings	undertakings	undertakings	undertakings	undertakings
	foreign branch)	undertakings	undertakings	undertakings	undertakings	undertakings
Type of counterparty identifier	Toroign Station)					
Counterparty identifier	$\qquad \qquad \longrightarrow$					
Legal Entity Identifier (LEI)						
Type of national identifier						
National identifier (from ECB's list of national identifiers)						
1st type of Identifier (optional, if more identifiers are available)						
1st identifier (optional, if available - from the list published by Bundesbank) °						
n-th type of Identifier (optional, if more identifiers are available)						
n-th identifier (optional, if available - from the list published by Bundesbank) 5						
Type of head office undertaking identifier						
Head office undertaking identifier						
Type of immediate parent undertaking identifier						
Immediate parent undertaking identifier						
Type of ultimate parent undertaking identifier						
Ultimate parent undertaking identifier						
Name						>>
Address: street		> <				>>
Address: city/town/village						$>\!\!<$
Address: county/administrative division		> <	> <			
Address: postal code		> <				$>\!\!<$
Address: country						>>
Legal form		> <				> <
Institutional sector		> <				>><
Economic activity						
Status of legal proceedings						
Date of initiation of legal proceedings						
Enterprise size						
Date of enterprise size						
Number of employees						
Balance sheet total						
Annual turnover						
Accounting standard						

5. Reporting obligations for the reference data of the Creditor, Originator and Servicer

As at end	
Reporting agent identifier	

Attribute does not require reporting

Attribute requires reporting

Attribute does not require reporting by small reporting agents (as defined above)

	Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state. ¹			Reporting obligations relating to counterparty reference data for counterparties not resident in a reporting member state. ²		
	Creditor	Originator	Servicer	Creditor	Originator	Servicer
Type of counterparty identifier						
Counterparty identifier						
Legal Entity Identifier (LEI)						
Type of national identifier						
National identifier (from ECB's list of national identifiers)						
1st type of Identifier (optional, if more identifiers are available)		>>				
1st identifier (optional, if available - from the list published by Bundesbank) 5						
n-th type of Identifier (optional, if more identifiers are available)						
n-th identifier (optional, if available - from the list published by Bundesbank) 5						
Type of head office undertaking identifier						
Head office undertaking identifier						
Type of immediate parent undertaking identifier						
Immediate parent undertaking identifier						
Type of ultimate parent undertaking identifier						
Ultimate parent undertaking identifier						
Name						$>\!\!<$
Address: street		> <				
Address: city/town/village		>				
Address: county/administrative division		>>				
Address: postal code		>>				
Address: country		\sim				
Legal form		\sim				
Institutional sector		> <				
Economic activity						
Status of legal proceedings						
Date of initiation of legal proceedings						
Enterprise size						
Date of enterprise size						
Number of employees						
Balance sheet total						
Annual turnover						
Accounting standard						