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)

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)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to 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[(1)], and in particular Article 10(8) thereof,

Whereas:

(1) A uniform format for applications to the European Securities and Markets Authority (ESMA) for registration as a securitisation repository or for extension of a registration of a trade repository should ensure that all information required pursuant to Commission Delegated Regulation (EU) 2020/1230[(2)] is submitted to, and easily identified by, ESMA.

(2) It is important that the information in those applications be submitted in a format that enables storage for future use and reproduction. Therefore, these applications should be submitted in a durable medium.

(3) In order to facilitate the identification of the information submitted within those applications, a unique reference number and a title for each of their documents should be provided. For the same reason, the applicant should be required to identify any information submitted by reference to the provision of Delegated Regulation (EU) 2020/1230 which that information relates to.

(4) This Regulation is based on the draft implementing technical standards submitted by ESMA to the Commission.

(5) In accordance with Article 15 of Regulation (EU) No 1095/2010 of the European Parliament and of the Council[(3)], ESMA has conducted an open public consultation on the draft implementing technical standards on which this Regulation is based, analysed

the potential related costs and benefits and requested the opinion of the Securities and Markets Stakeholder Group established by Article 37 of that Regulation,

HAS ADOPTED THIS REGULATION:

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[4];

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
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
If the applicant is authorised or registered by a competent authority in the Member State where it is established, 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)
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 of 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 of the responsible supervisory authority for any ultimate parent undertaking