

Columns ¹	Legal reference and instructions (see p.8 for data conventions)
010	<p>Entity name</p> <p>Name of the entity using payment, custody, settlement, clearing or trade repository services. Free-form text identification of incorporation name for the entity for which the information is reported. Please state the official name as it is listed in corporate acts, including the indication of the incorporation form.</p> <p><i>Free form text</i></p>
020	<p>Legal identifier</p> <p>20-digit, alpha-numeric code of the legal entity identified in Column 010. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction.</p> <p>In the absence of a LEI, the ECB Monetary Financial Institutions unique Identifier (MFI ID) of the entity for use in RIAD should be used. In absence of both such identifiers, the BIC code or a local identifier shall be used (please contact the National Resolution Authority for this).</p> <p><i>Alpha numeric identification code</i></p>
030	<p>System Type</p> <p>Payment system - Large Values (PS - LV); Payment system – Retail (PS – Retail); (International) Central Securities Depository((I)CSD); (I)CSD & Securities Settlement System ((I)CSD-SSS); Securities Settlement System without custody (SSS, e.g. T2S); central counterparty for derivatives clearing (CCP - derivatives); central counterparty for securities clearing (CCP – securities); Trade Repository (TR).</p> <p><i>Drop-down list, please select as appropriate. Please report NA if Payment, Clearing, Settlement or Custody services are provided by an entity that is not a Financial Market Infrastructure (see 070).</i></p>
040	<p>Designation</p> <p>Commercial name of the FMI.</p> <p><i>Free form text</i></p>
050	<p>Participation mode</p> <p>Direct participation in/membership of FMI; Indirect participation in/ membership of FMI.</p>

¹ Numbers correspond to fields of the EBA template; letters + numbers to new fields.

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	<p><i>Dropdown list, please select as appropriate. Please only report NA if you have reported NA under 030 System Type.</i></p> <p>Note: Columns 070 “name of representative institution” and 080 “identification code of the representative institution” do not need to be filled if direct participation is selected in the “participation mode” column. They automatically turn grey to make this clear.</p>
060	<p>Identification Code of the FMI</p> <p>LEI code of the FMI.</p> <p>In the absence of a LEI, the ECB Monetary Financial Institutions unique Identifier (MFI ID) of the entity for use in RIAD should be used. In absence of both such identifiers, the BIC code or a local identifier shall be used (please contact the National Resolution Authority for this).</p> <p><i>Alpha numeric identification code</i></p>
070	<p>Name of representative institution (relevant only in case of indirect access or if 030 System Type is NA)</p> <p>Credit institution providing to the reporting entity an indirect access to an FMI, where appropriate. The representative institution may be part of the group to which the reporting entity belongs; it may also be another credit institution not related to that group.</p> <p>The representative institution is referred to as an “FMI intermediary” by the Financial Stability Board. An FMI intermediary is a firm that provides clearing, payment, securities settlement and/or custody services to other firms. FMI intermediaries are direct members of one or several FMIs and provide indirect access to the critical services offered by such FMIs (e.g. to other entities/affiliates within the firm, or to a non-affiliated firm or customer).²</p> <p><i>Free form text</i></p>
080	<p>Identification code of the representative institution (relevant only in case of indirect access or if 030 System Type is NA)</p> <p>Legal identifier, 20-digit, alpha-numeric code of the legal entity identified in Column 070. The Legal identifier uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction.</p>

² See Financial Stability Board, *Guidance on Continuity of Access to Financial Market Infrastructures (“FMIs”) for a Firm in Resolution, consultative document, December 2016.*

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	<p>In the absence of a LEI, the ECB Monetary Financial Institutions unique Identifier (MFI ID) of the entity for use in RIAD should be used. In absence of both such identifiers, the BIC code or a local identifier shall be used.</p> <p>Only where there is no other form of identification, it is allowed to say 'not available' (UA).</p> <p><i>Alpha numeric identification code</i></p>
A10	<p>Operator</p> <p>Legal entity operating the system (e.g. STEP2 with EBA Clearing as operator, TARGET 2 with Banco de Portugal or another NCB as operator).</p> <p><i>Free form text</i></p>
A20	<p>Country</p> <p>Governing law applicable to FMI rules and membership contracts between the FMI and the reporting entity in case of direct participation in the FMI. In case of indirect participation, the law applicable to contracts between the representative institution and the reporting entity shall be provided.</p> <p><i>Free form text</i></p>
A30	<p>Currency(ies) relevant for reporting entity</p> <p>Currency(ies) in which transactions of the reporting entity are accepted and settled in the system. Only relevant currencies should be reported, e.g. currencies that account for at least 5% of total operations of the reporting institution with the FMI.</p> <p><i>Multiple drop-down list (EUR, USD, GBP, CHF, JPY, other(please specify)), please select as appropriate</i></p>
A40	<p>Core services provided by the FMI / representative institution to the reporting entity</p> <p><i>Free form text</i></p>
A50	<p>Ancillary services provided by the FMI / representative institution to the reporting entity with credit or liquidity exposures</p> <ul style="list-style-type: none"> - Yes: Banking type ancillary services with credit or liquidity exposures, please specify in free form text - No : No banking type ancillary services with credit or liquidity exposures

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	<i>Dropdown list, please select as appropriate</i>
A60	<p>Services provided by the entity to the FMI/ representative institution</p> <p>e.g. price provider, liquidity provider, cash settlement for certain currencies, custody, indirect access to (foreign) CSDs, other (please specify).</p> <p><i>Multiple choice drop-down list, please select as appropriate</i></p>
A70	<p>Communication Service Providers Providers of communication systems used by the bank to access the FMI.</p> <p><i>Multiple choice drop-down list, please select the type of provider as appropriate: FMI proprietary or other. Please also specify the name of the organization which provides this service in free form text. For example, if you are using SWIFT, please report "other (SWIFT)".</i></p>
A80	<p>Other service providers enabling access to FMIs</p> <p>e.g. settlement bank, cash correspondent, liquidity provider. Please detail the name(s) of the provider(s) and the service(s) provided.</p> <p><i>Free form text</i></p>
B10, B20, B30	<p>Value of positions on proprietary accounts (EUR Mn) Value of positions on client omnibus accounts (EUR Mn) Value of positions on client segregated accounts (EUR Mn)</p> <p>Only report for CCPs and (I)CSDs.</p> <p>For CCPs: Positions at CCP in the respective account types. For (I)CSDs: securities held in the respective account types.</p> <p>Positions on client accounts: only report for FMIs where the institution provides indirect access to clients. Otherwise report NA.</p> <p><i>Total values should be included, not only relevant currencies as reported in Column L.</i></p> <p><i>Daily average value in EUR million over the previous year. If not available, daily average value over a shorter time period.</i></p>
B40, B50	<p>Number of client covered by omnibus accounts ('000) Number of client covered by segregated accounts ('000)</p> <p>Only report for FMIs where the reporting institution provides indirect access to clients. Otherwise report NA.</p>

Columns ¹	Legal reference and instructions (see p.8 for data conventions)
	<i>Daily average number in thousand over the previous year. If not available, daily average number over a shorter time period.</i>
B60, B70	<p>Number of transactions on proprietary accounts ('000) Number of transactions on client accounts ('000)</p> <p>Only report if applicable, otherwise report NA (in particular for FMIs that are not transaction-based, e.g. trade repositories, CCPs or CSDs not providing settlement services).</p> <p>Transactions on client accounts: only report for FMIs where the reporting institution provides indirect access to clients. Otherwise report NA.</p> <p><i>Daily average number of transactions sent, in thousands, over the previous year. If not available, daily average number over a shorter time period.</i></p>
B80, B90	<p>Value of transaction on proprietary accounts (EUR Mn) Value of transactions on client accounts (EUR Mn)</p> <p>Only report if applicable, otherwise report NA (in particular for FMIs that are not transaction-based, e.g. trade repositories, CCPs or CSDs not providing settlement services).</p> <p>Transactions on client accounts: only report for FMIs where the reporting institution provides indirect access to clients. Otherwise report NA.</p> <p><i>Daily average value of transactions sent, in EUR million over the previous year. If not available, daily average value over a shorter time period.</i></p>
B100	<p>Credit line (EUR Mn)</p> <p>Credit line granted in the system in case of direct access or by the representative institution or by another liquidity provider in case of indirect access. Only report if applicable, otherwise report NA.</p> <p><i>Amount in EUR million</i></p>
B110	<p>Peak of (intraday) liquidity or collateral requirements (EUR Mn)</p> <p>Only report if applicable, otherwise (in particular for trade repositories) report NA.</p> <p>For (I)CSDs or payment systems in case of direct access: peak (intraday) credit usage.</p> <p>For CCPs and for FMIs not providing any credit to their participants, in case of direct access: peak of intraday liquidity requirements (e.g. variation margin in CCPs).</p>

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	In case of indirect access: peak funding required by the representative institution. <i>Peak value in EUR million over historical period available</i>
B120	<p>Estimated additional liquidity or collateral requirements in a stress situation</p> <p>Please estimate the potential additional liquidity or collateral requirements (e.g. variation margin, pre-funding) that the reporting entity may face in a situation of severe stress (before resolution or at the time of resolution). Only report for CCPs and for FMIs or representative institutions providing credit and/or liquidity.</p> <p><i>Estimated value in EUR million</i></p>
090	<p>Mapping to Critical Function</p> <p>Please map to the following economic functions, as identified by the FSB: deposits, lending, payment/cash/clearing/settlement/ custody, capital markets, wholesale funding. Please only report when the function is critical in the given market and the access to FMI services or to similar services provided by representative institution(s) is essential for the continued performance of that function.</p> <p><i>Multiple choice drop-down list, please select as appropriate.</i></p>
100	<p>Mapping to Core Business Line</p> <p>Please only report when the business line is a Core Business Line for the reporting entity and the access to FMI services or to similar services provided by representative institution(s) is essential for the continued performance of that business line.</p> <p><i>Free form text</i></p>
110	<p>Membership Requirements</p> <p>Qualitative and quantitative information necessary to understand the risk of the institution's membership being cancelled: criteria for admission and membership requirements (legal, financial, operational). To the extent specific membership requirements apply at segment level (by product/ service), they should be provided, for each segment.</p> <p><i>Free form text</i></p> <p><i>Please complete only for FMIs located outside of the Banking Union (with the exception of CLS) and, in case of indirect access, for representative institutions (EU and third country).</i></p>

Columns ¹	Legal reference and instructions (see p.8 for data conventions)
	Information on Banking Union FMIs is gathered by the SRB
120	<p>Impact of resolution proceedings</p> <p>Contractual consequences of resolution proceedings. For example, is resolution treated as insolvency? Is it a termination trigger?</p> <p><i>Free form text</i></p> <p><i>Please complete only for FMIs located outside of the Banking Union (with the exception of CLS) and, in case of indirect access, for representative institutions (EU and third country).</i></p> <p>Information on Banking Union FMIs is gathered by the SRB</p>
C10	<p>Termination triggers</p> <p>Provisions in contractual arrangements between the reporting entity and the FMI, or between the reporting entity and a representative institution providing indirect access to one or several FMIs, allowing for an automatic termination or conferring an option, in favour of the FMI or representative institution, to terminate these contracts.</p> <p><i>Multiple choice drop-down list, please select as appropriate.</i></p>
130	<p>Substitutability</p> <p>Name of other FMI(s) or representative institution(s) already used or identified as potential service provider(s), and which could substitute the system listed in 040. Please specify segment between brackets, if appropriate.</p> <p><i>Free form text</i></p>
C20	<p>Timelag for substitutability</p> <p>Time needed for substitution (in days) if access to the FMI is not available (for direct participants) OR if access to the representative institution is not available (for indirect participants). Please estimate how long it would take to re-route transactions to another FMI in which the bank is participating or to another representative institution, or to establish access (in a comparable scope and quality and at reasonable cost) to an alternative FMI or representative institution.</p> <p>If the FMI is used for different segments, please report the longest timelag and specify in the "additional information" column (140) the timelag corresponding to each segment.</p> <p><i>Drop-down list, please select as appropriate: ≤ 1 day; 1 day-2 days; 2 days- 1 week, >1 week.</i></p>

Columns ¹	Legal reference and instructions (see p.8 for data conventions)
C30	<p>Point of contact(s) at FMI/ representative institution for matters related to the resolution of the reporting entity</p> <p>The point of contact for the reporting entity at the FMI. This is usually the relationship manager. Please specify: Name, Position/job title, Phone Number, E-Mail.</p> <p><i>Free form text</i></p>
140	<p>Additional information</p> <p>Please report any other information you consider relevant for resolution purposes in respect of FMI access.</p> <p><i>Free form text</i></p>

Conventions

The format is an Excel file. To ensure consistency and to allow the submitted data to be treated and analysed in a uniform way, parts of the template have been 'locked'. The template should not be altered, only cells which the institutions are required to fill should be completed.

The reporting conventions can be found in the table below.

Table 1: Data conventions

decimal mark (if numbers are not rounded)	, (comma)
digit grouping/thousand separator	. (point)
requested field is not available	UA
requested field is not applicable	NA

Amounts will exclusively be reported **in EUR (counter) value and may be rounded to the nearest EUR million**. For foreign currencies, this means that conversion is required, which will be done at the reference rates published by the ECB on the date for which the template is reported. In case this is a TARGET closing date, the exchange rate shall refer to the one published at the closest date before the reporting date. In cases where this is not practicable, you may report using the exchange rate used in your internal systems.

When adding several items of information as free form text, please separate each item by a comma (,). This also applies to free form text between brackets when "other" is selected from drop-down lists.

Naming convention

The filename is to be constructed using the following syntax:

[Institution Identifier]_[Country of Incorporation]_FMI2016_[Time Stamp].xls(x)

Example: BE123456789012345678_BE_FM12016_20170428123600000.xlsx

Where:

[Institution Identifier]

LEI-code used to identify the entity in the 2017 data collection. In the absence of a LEI, the ECB Monetary Financial Institutions unique Identifier (MFI ID) of the entity for use in RIAD should be used. In absence of both such identifiers, a local identifier shall be used (please contact the NRA for this)

[Country of Incorporation]

ISO code for the country of incorporation (2 digits)

[Time Stamp]

Date at which file was created (YYYYMMDDmm00000)