



Financial Conglomerates	Form (ref)
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Part 1: General information

A	Name of group	
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B	Name of supervisory authority	
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C	Name of entity at head of the group	
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D	Type of entity at head of the group (select one of D1, D2, D3 or D4)	
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Tick one of (a), (b) or (c)

D1	EU regulated entity country of authorisation	
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(a)	Credit institution	
(b)	Investment firm	
(c)	Insurance firm	

D2	EU non-regulated entity country of location	
D3	Non-EU regulated entity country of authorisation	
D4	Non-EU non-regulated country of location	

E	Year-end for group consolidation purposes	
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Part 2: Threshold information

F1	Is at least one of the entities in the group within the insurance sector and at least one in the banking/investment sector?	<input type="checkbox"/> Yes	<input type="checkbox"/> No (got to part 3)
F2	For D2 & D4 groups only: enter the ratio of the balance sheet total of the financial sectors in the group to the balance sheet total of the group as a whole. <i>Enter percentage in box*.</i>	<input type="text"/>	%
F3	Which is the smallest financial sector?	<input type="checkbox"/> Insurance	<input type="checkbox"/> Banking / Investment
F4	Ratio of balance sheet total of smallest financial sector to the balance sheet total of the financial sector entities in the group. <i>Enter percentage in box*.</i>	<input type="text"/>	%
F5	Ratio of the solvency requirement of the smallest financial sector to the solvency requirements of the total financial sector in the group. <i>Enter percentage in the box*.</i>	<input type="text"/>	%
F6	What is the balance sheet total of the smallest financial sector in the group (identified in F3)*?	<input type="text"/>	(€'m)

* See guidance notes on a suitable method of calculation

Part 3: Conclusion on reason for becoming a financial conglomerate

G Select **ONE** of the following based on the answers in parts 1 & 2.

If answer to F1 is **NO** or if none of the following are met then select type **Z**:

Z	
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Not a conglomerate.

If the group category is D1 or D3 and the average of F4 and F5 is greater than 10% then select type i.

i	
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Conglomerate headed by a regulated institution with significant cross-sector activities. [Article 3(2)]

If the group is category D1 or D3 and the average of F4 and F5 is less than 10% but F6 is greater than €6 billion then select ii.

ii	
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Possible conglomerate headed by a regulated institution with presumed significant cross-sector activities. [Article 3(3)]

If the group is category D2 or D4 and the answer to F2 is greater than 40% AND the average of F4 and F5 is greater than 10% then select type iii.

iii	
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Conglomerate headed by non-regulated entity with significant cross-sector activities. [Articles 3(1) and 3(2)]

If the group is category D2 or D4 and the answer to F2 is greater than 40% AND the average of F4 and F5 is less than 10% but F6 is greater than €6 billion then select type iv.

iv	
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Possible conglomerate headed by non-regulated entity with presumed significant cross-sector activities. [Articles 3(1) & 3(3)]

Part 4: Other relevant information

H1	Who do you think are the relevant competent authorities for your group (ie supervisors in EEA states in which the group has significant regulated activity? See Article 2(17) for the definition of relevant competent authorities	
H2	Who do you think should be the likely coordinator for the group (ie EEA supervisor of the group's most important regulated activity in the EU)? See Articles 10(1) and 10(2).	
H3	Do you consider that balance sheet value and solvency requirements were an appropriate criterion to determine whether a group is financial and whether cross-sector activities exist? If not, do you consider there are parameters (as referred to in Article 3(5)) that would be more appropriate?	
H4	Do you have any other relevant comments? (Use a continuation sheet if necessary)	