

Bank of England PRA

Chapter 10

Instructions regarding reporting templates

IR.34.01 — Other regulated and non-regulated financial undertakings

General comments

This section relates to opening and annual submission of information for groups.

This template is relevant under method 1 as defined in 11.1 to 11.3 of the Group Supervision part of the PRA Rulebook, method 2 as defined in 12.1 to 13.2 of the Group Supervision part of the PRA Rulebook and a combination of methods and covers the individual requirements of financial undertakings other than insurance and reinsurance undertakings, and of non-regulated undertakings carrying out financial activities [as defined in Article 1(52) of Delegated Regulation (EU) 2015/35], such as credit institutions, investment firms, financial institutions, alternative investment fund managers, UCITS management companies, institutions for occupational retirement provisions, non-regulated undertakings carrying out financial activities, insurance holding companies and mixed financial holding companies.

	ITEM	INSTRUCTIONS
C0010	Legal name of the undertaking	Legal name of each undertaking.
C0020	Identification code and type of code of the undertaking	<p>Identification code by this order of priority:</p> <ul style="list-style-type: none"> • Legal Entity Identifier (LEI); • Specific code <p>Specific code:</p> <ul style="list-style-type: none"> • For EEA insurance and reinsurance undertakings and other EEA regulated undertakings within the scope of group supervision: identification code used in the local market, attributed by the undertaking's competent supervisory authority; • For non-EEA undertakings and non-regulated undertakings within the scope of group supervision, identification code will be provided

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		<p>by the group. When allocating an identification code to each non-EEA or non-regulated undertaking, the group should comply with the following format in a consistent manner:</p> <p>identification code of the parent undertaking + ISO 3166-1 alpha-2 code of the country of the undertaking + 5 digits</p>
C0040	Aggregated or not	<p>When the entities of other financial sectors form a group with a specific capital requirement, this consolidated capital requirement can be accepted instead of the list of each individual requirement. The following closed list shall be used:</p> <ul style="list-style-type: none"> • 1 — Aggregated • 2 — Not aggregated
C0050	Type of capital requirement	<p>Identify the type of capital requirement. The following closed list shall be used:</p> <ul style="list-style-type: none"> • 1 — Sectoral (for credit institutions, investment firms, financial institutions, alternative investment fund managers, UCITS management companies, institutions for occupational retirement provisions) • 2 — Notional (for non-regulated undertakings) • 3 — No capital requirement
C0060	Notional SCR or Sectoral capital requirement	The capital requirement, either sectoral or notional, that triggers first intervention by individual supervisor, assuming a so-called intervention ladder.
C0070	Notional MCR or Sectoral minimum capital requirement	Minimum capital requirement, either sectoral or notional, that triggers final intervention, assuming a so-called intervention ladder where available.

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		This item is not requested for entities for which a final trigger level is not set.
C0080	Notional or Sectoral Eligible Own Funds	Total own funds to cover the (notional or sectoral) capital requirement. No restrictions on availability for the group apply.

Effective from 31 December 2024