

DECISION OF THE EEA JOINT COMMITTEE
No 82/2019

of 29 March 2019

amending Annex IX (Financial services) to the EEA Agreement

THE EEA JOINT COMMITTEE,

Having regard to the Agreement on the European Economic Area (“the EEA Agreement”), and in particular Article 98 thereof,

Whereas:

- (1) Regulation (EU) 2016/1014 of the European Parliament and of the Council of 8 June 2016 amending Regulation (EU) No 575/2013 as regards exemptions for commodity dealers¹ is to be incorporated into the EEA Agreement.
- (2) Commission Delegated Regulation (EU) No 1187/2014 of 2 October 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council as regards regulatory technical standards for determining the overall exposure to a client or a group of connected clients in respect of transactions with underlying assets² is to be incorporated into the EEA Agreement.
- (3) Commission Delegated Regulation (EU) No 1222/2014 of 8 October 2014 supplementing Directive 2013/36/EU of the European Parliament and of the Council with regard to regulatory technical standards for the specification of the methodology for the identification of global systemically important institutions and for the definition of subcategories of global systemically important institutions³ is to be incorporated into the EEA Agreement.
- (4) Commission Delegated Regulation (EU) 2015/1555 of 28 May 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the disclosure of information in relation to the compliance of institutions with the requirement for a countercyclical capital buffer in accordance with Article 440⁴ is to be incorporated into the EEA Agreement.
- (5) Commission Delegated Regulation (EU) 2015/1556 of 11 June 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the transitional treatment of equity exposures under the IRB approach⁵ is to be incorporated into the EEA Agreement.
- (6) Commission Delegated Regulation (EU) 2016/709 of 26 January 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards specifying the conditions for the application of

¹ OJ L 171, 29.6.2016, p. 153.

² OJ L 324, 7.11.2014, p. 1.

³ OJ L 330, 15.11.2014, p. 27.

⁴ OJ L 244, 19.9.2015, p. 1.

⁵ OJ L 244, 19.9.2015, p. 9.

the derogations concerning currencies with constraints on the availability of liquid assets⁶ is to be incorporated into the EEA Agreement.

- (7) Commission Delegated Regulation (EU) 2017/72 of 23 September 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards specifying conditions for data waiver permissions⁷ is to be incorporated into the EEA Agreement.
- (8) Commission Delegated Regulation (EU) 2017/180 of 24 October 2016 supplementing Directive 2013/36/EU of the European Parliament and of the Council with regard to regulatory technical standards for benchmarking portfolio assessment standards and assessment-sharing procedures⁸ is to be incorporated into the EEA Agreement.
- (9) Commission Delegated Regulation (EU) 2017/208 of 31 October 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for additional liquidity outflows corresponding to collateral needs resulting from the impact of an adverse market scenario on an institution's derivatives transactions⁹ is to be incorporated into the EEA Agreement.
- (10) Commission Implementing Regulation (EU) No 945/2014 of 4 September 2014 laying down implementing technical standards with regard to relevant appropriately diversified indices according to Regulation (EU) No 575/2013 of the European Parliament and of the Council¹⁰ is to be incorporated into the EEA Agreement.
- (11) Commission Implementing Regulation (EU) No 1030/2014 of 29 September 2014 laying down implementing technical standards with regard to the uniform formats and date for the disclosure of the values used to identify global systemically important institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council¹¹ is to be incorporated into the EEA Agreement.
- (12) Commission Implementing Regulation (EU) 2015/233 of 13 February 2015 laying down implementing technical standards with regard to currencies in which there is an extremely narrow definition of central bank eligibility pursuant to Regulation (EU) No 575/2013 of the European Parliament and of the Council¹² is to be incorporated into the EEA Agreement.
- (13) Commission Implementing Regulation (EU) 2015/2197 of 27 November 2015 laying down implementing technical standards with regard to closely correlated currencies in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council¹³ is to be incorporated into the EEA Agreement.
- (14) Commission Implementing Regulation (EU) 2015/2344 of 15 December 2015 laying down implementing technical standards with regard to currencies with constraints on the availability of liquid assets in accordance with Regulation (EU) No 575/2013 of

⁶ OJ L 125, 13.5.2016, p. 1.

⁷ OJ L 10, 14.1.2017, p. 1.

⁸ OJ L 29, 3.2.2017, p. 1.

⁹ OJ L 33, 8.2.2017, p. 14.

¹⁰ OJ L 265, 5.9.2014, p. 3.

¹¹ OJ L 284, 30.9.2014, p. 14.

¹² OJ L 39, 14.2.2015, p. 11.

¹³ OJ L 313, 28.11.2015, p. 30.

the European Parliament and of the Council¹⁴ is to be incorporated into the EEA Agreement.

- (15) Commission Implementing Regulation (EU) 2016/200 of 15 February 2016 laying down implementing technical standards with regard to disclosure of the leverage ratio for institutions, according to Regulation (EU) No 575/2013 of the European Parliament and of the Council¹⁵ is to be incorporated into the EEA Agreement.
- (16) Commission Implementing Regulation (EU) 2016/818 of 17 May 2016 amending Implementing Regulation (EU) No 1030/2014 laying down implementing technical standards with regard to the uniform formats and date for the disclosure of the values used to identify global systemically important institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council¹⁶ is to be incorporated into the EEA Agreement.
- (17) Commission Implementing Regulation (EU) 2016/1646 of 13 September 2016 laying down implementing technical standards with regard to main indices and recognised exchanges in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council on prudential requirements for credit institutions and investment firms¹⁷ is to be incorporated into the EEA Agreement.
- (18) Commission Implementing Regulation (EU) 2016/1799 of 7 October 2016 laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for credit risk in accordance with Articles 136(1) and 136(3) of Regulation (EU) No 575/2013 of the European Parliament and of the Council¹⁸ is to be incorporated into the EEA Agreement.
- (19) Commission Implementing Regulation (EU) 2016/1801 of 11 October 2016 on laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for securitisation in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council¹⁹ is to be incorporated into the EEA Agreement.
- (20) Commission Implementing Regulation (EU) 2016/2070 of 14 September 2016 laying down implementing technical standards for templates, definitions and IT-solutions to be used by institutions when reporting to the European Banking Authority and to competent authorities in accordance with Article 78(2) of Directive 2013/36/EU of the European Parliament and of the Council²⁰ is to be incorporated into the EEA Agreement.
- (21) Commission Implementing Decision 2014/908/EU of 12 December 2014 on the equivalence of the supervisory and regulatory requirements of certain third countries and territories for the purposes of the treatment of exposures according to Regulation

¹⁴ OJ L 330, 16.12.2015, p. 26.

¹⁵ OJ L 39, 16.2.2016, p. 5.

¹⁶ OJ L 136, 25.5.2016, p. 4.

¹⁷ OJ L 245, 14.9.2016, p. 5.

¹⁸ OJ L 275, 12.10.2016, p. 3.

¹⁹ OJ L 275, 12.10.2016, p. 27.

²⁰ OJ L 328, 2.12.2016, p. 1.

(EU) No 575/2013 of the European Parliament and of the Council²¹ is to be incorporated into the EEA Agreement.

- (22) Commission Implementing Decision (EU) 2016/230 of 17 February 2016 amending Implementing Decision 2014/908/EU as regards the lists of third countries and territories whose supervisory and regulatory requirements are considered equivalent for the purposes of the treatment of exposures according to Regulation (EU) No 575/2013 of the European Parliament and of the Council²² is to be incorporated into the EEA Agreement.
- (23) Commission Implementing Decision (EU) 2016/2358 of 20 December 2016 amending Implementing Decision 2014/908/EU as regards the lists of third countries and territories whose supervisory and regulatory requirements are considered equivalent for the purposes of the treatment of exposures according to Regulation (EU) No 575/2013 of the European Parliament and of the Council²³ is to be incorporated into the EEA Agreement.
- (24) Annex IX to the EEA Agreement should therefore be amended accordingly,

HAS ADOPTED THIS DECISION:

Article 1

Annex IX to the EEA Agreement shall be amended as follows:

1. The following indent is inserted in point 14a (Regulation (EU) No 575/2013 of the European Parliament and of the Council):
 - ‘- **32016 R 1014:** Regulation (EU) 2016/1014 of the European Parliament and of the Council of 8 June 2016 (OJ L 171, 29.6.2016, p. 153).’
2. The following is inserted after point 14ap (Commission Delegated Regulation (EU) No 625/2014):
 - ‘14aq. **32014 R 0945:** Commission Implementing Regulation (EU) No 945/2014 of 4 September 2014 laying down implementing technical standards with regard to relevant appropriately diversified indices according to Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 265, 5.9.2014, p. 3).
 - 14ar. **32014 R 1030:** Commission Implementing Regulation (EU) No 1030/2014 of 29 September 2014 laying down implementing technical standards with regard to the uniform formats and date for the disclosure of the values used to identify global systemically important institutions according to Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 284, 30.9.2014, p. 14), as amended by:
 - **32016 R 0818:** Commission Implementing Regulation (EU) 2016/818 of 17 May 2016 (OJ L 136, 25.5.2016, p. 4).

²¹ OJ L 359, 16.12.2014, p. 155.

²² OJ L 41, 18.2.2016, p. 23.

²³ OJ L 348, 21.12.2016, p. 75.

- 14as. **32014 R 1187**: Commission Delegated Regulation (EU) No 1187/2014 of 2 October 2014 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council as regards regulatory technical standards for determining the overall exposure to a client or a group of connected clients in respect of transactions with underlying assets (OJ L 324, 7.11.2014, p. 1).
- 14at. **32014 D 0908**: Commission Implementing Decision 2014/908/EU of 12 December 2014 on the equivalence of the supervisory and regulatory requirements of certain third countries and territories for the purposes of the treatment of exposures according to Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 359, 16.12.2014, p. 155), as amended by:
- **32016 D 0230**: Commission Implementing Decision (EU) 2016/230 of 17 February 2016 (OJ L 41, 18.2.2016, p. 23),
 - **32016 D 2358**: Commission Implementing Decision (EU) 2016/2358 of 20 December 2016 (OJ L 348, 21.12.2016, p. 75).
- 14au. **32015 R 0233**: Commission Implementing Regulation (EU) 2015/233 of 13 February 2015 laying down implementing technical standards with regard to currencies in which there is an extremely narrow definition of central bank eligibility pursuant to Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 39, 14.2.2015, p. 11).
- 14av. **32015 R 1555**: Commission Delegated Regulation (EU) 2015/1555 of 28 May 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the disclosure of information in relation to the compliance of institutions with the requirement for a countercyclical capital buffer in accordance with Article 440 (OJ L 244, 19.9.2015, p. 1).
- 14aw. **32015 R 1556**: Commission Delegated Regulation (EU) 2015/1556 of 11 June 2015 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for the transitional treatment of equity exposures under the IRB approach (OJ L 244, 19.9.2015, p. 9).
- 14ax. **32015 R 2197**: Commission Implementing Regulation (EU) 2015/2197 of 27 November 2015 laying down implementing technical standards with regard to closely correlated currencies in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 313, 28.11.2015, p. 30).
- 14ay. **32015 R 2344**: Commission Implementing Regulation (EU) 2015/2344 of 15 December 2015 laying down implementing technical standards with regard to currencies with constraints on the availability of liquid assets in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 330, 16.12.2015, p. 26).
- 14az. **32016 R 0200**: Commission Implementing Regulation (EU) 2016/200 of 15 February 2016 laying down implementing technical standards with regard to disclosure of the leverage ratio for institutions, according to Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 39, 16.2.2016, p. 5).

- 14aza. **32016 R 0709:** Commission Delegated Regulation (EU) 2016/709 of 26 January 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards specifying the conditions for the application of the derogations concerning currencies with constraints on the availability of liquid assets (OJ L 125, 13.5.2016, p. 1).
- 14azb. **32016 R 1646:** Commission Implementing Regulation (EU) 2016/1646 of 13 September 2016 laying down implementing technical standards with regard to main indices and recognised exchanges in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council on prudential requirements for credit institutions and investment firms (OJ L 245, 14.9.2016, p. 5).
- 14azc. **32016 R 1799:** Commission Implementing Regulation (EU) 2016/1799 of 7 October 2016 laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for credit risk in accordance with Articles 136(1) and 136(3) of Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 275, 12.10.2016, p. 3).
- 14azd. **32016 R 1801:** Commission Implementing Regulation (EU) 2016/1801 of 11 October 2016 on laying down implementing technical standards with regard to the mapping of credit assessments of external credit assessment institutions for securitisation in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council (OJ L 275, 12.10.2016, p. 27).
- 14aze. **32017 R 0072:** Commission Delegated Regulation (EU) 2017/72 of 23 September 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards specifying conditions for data waiver permissions (OJ L 10, 14.1.2017, p. 1).
- 14azf. **32017 R 0208:** Commission Delegated Regulation (EU) 2017/208 of 31 October 2016 supplementing Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to regulatory technical standards for additional liquidity outflows corresponding to collateral needs resulting from the impact of an adverse market scenario on an institution's derivatives transactions (OJ L 33, 8.2.2017, p. 14).’
3. The following is inserted after point 14k (Commission Delegated Regulation (EU) No 1152/2014):
- ‘14l. **32014 R 1222:** Commission Delegated Regulation (EU) No 1222/2014 of 8 October 2014 supplementing Directive 2013/36/EU of the European Parliament and of the Council with regard to regulatory technical standards for the specification of the methodology for the identification of global systemically important institutions and for the definition of subcategories of global systemically important institutions (OJ L 330, 15.11.2014, p. 27).
- 14m. **32016 R 2070:** Commission Implementing Regulation (EU) 2016/2070 of 14 September 2016 laying down implementing technical standards for templates, definitions and IT-solutions to be used by institutions when reporting to the European Banking Authority and to competent authorities in accordance with Article 78(2) of Directive 2013/36/EU of the European Parliament and of the Council (OJ L 328, 2.12.2016, p. 1).

- 14n. **32017 R 0180:** Commission Delegated Regulation (EU) 2017/180 of 24 October 2016 supplementing Directive 2013/36/EU of the European Parliament and of the Council with regard to regulatory technical standards for benchmarking portfolio assessment standards and assessment-sharing procedures (OJ L 29, 3.2.2017, p. 1).’

Article 2

The texts of Regulation (EU) 2016/1014, Delegated Regulations (EU) No 1187/2014, (EU) No 1222/2014, (EU) 2015/1555, (EU) 2015/1556, (EU) 2016/709, (EU) 2017/72, (EU) 2017/180 and (EU) 2017/208, Implementing Regulations (EU) No 945/2014, (EU) No 1030/2014, (EU) 2015/233, (EU) 2015/2197, (EU) 2015/2344, (EU) 2016/200, (EU) 2016/818, (EU) 2016/1646, (EU) 2016/1799, (EU) 2016/1801 and (EU) 2016/2070 and Implementing Decisions 2014/908/EU, (EU) 2016/230 and (EU) 2016/2358 in the Icelandic and Norwegian languages, to be published in the EEA Supplement to the *Official Journal of the European Union*, shall be authentic.

Article 3

This Decision shall enter into force on 30 March 2019, provided that all the notifications under Article 103(1) of the EEA Agreement have been made*, or on the day of the entry into force of Decision of the EEA Joint Committee No 79/2019 of 29 March 2019²⁴, whichever is the later.

Article 4

This Decision shall be published in the EEA Section of, and in the EEA Supplement to, the *Official Journal of the European Union*.

Done at Brussels, 29 March 2019.

*For the EEA Joint Committee
The President*

Claude Maerten

*The Secretaries
to the EEA Joint Committee*

Hege M. Hoff

Mikołaj Karłowski

* No constitutional requirements indicated.
²⁴ OJ L ...

Provisional text