AnaCredit reporting template for counterparty reference data

Versions

Version	Date	Description of changes since the previous version
1	18 July 2016	Initial publication
2	9 Sep 2016	Addition of the following data attributes to the five tables:
		• "Type of head office undertaking identifier"
		 "Type of immediate parent undertaking identifier"
		• "Type of ultimate parent undertaking identifier"
3	14.10.2016	An error was corrected that occurred during the creation of the PDF file. The headers of sections 2 and 3 have disappeared. This has been corrected.
4	19.04.2017	In table 1 we added a remark to the document "Erläuterungen zu den Meldeinhalten"
5	30.06.2017	Reporting requirements for institutions reporting according to § 24 KWG (German Banking Act) were further specified
		The reporting of national and further (optional) identifiers was aligned with the Bundesbank's technical reporting template.
6	27.08.2020	Address: country has to be reported for servicers as well.
		Enterprise size is not mandatory for debtors outside reporting member states any more.

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Counterparty reference data

As a general rule_ For a single counterparty, only one data record is to be transmitted per reporting agent, regardless of how many different roles (debtor, protection provider etc) the counterparty fulfils. Should a counterparty fulfil multiple roles, the most onerous, ie the most onerous reporting obligation applies.

Only institutes that already hand in reports according to \$24 KWG (German law) about their own institute to the Bundesbank are exempt from the requirement of the "most onerous" reporting. Only for reporting agents in table 1 Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state the accounting standard has to be reported. Further information on this topic can be found in the document "Erlaturerungen zu den Meldeinhalten".

Reduced reporting obligations apply to small reporting agents that are granted a derogation. The Bundesbank issues an official notification to any reporting agents subject to these reduced reporting requirements. These reporting agents are not required to report certain individual data attributes. The specific reduced requirements are shown in the individual tables.

¹ For reasons of clarity, Table 2 of Annex III of the AnaCredit Regulation has been divided into five separate tables. In terms of content, the tables still contain all the information in Table 2 of Annex III where all functional roles are presented in one table.

For reasons of clarity, Table 3 of Annex III of the AnaCredit Regulation has been divided into five separate tables. In terms of content, the tables still contain all the information in Table 3 of Annex III where all functional roles are presented in one table.

see "Technische Spezifikation der Stamm- und Kreditdatenmeldungen für AnaCredit an die Bundesbank", list of attributes of counterparty reference data

1. Reporting obligations for the reference data of reporting- and observed agents.

As at end Reporting agent identifier

Attribute does not require reporting Attribute requires reporting

Attribute does not require reporting by small reporting agents (as defined above)

	Reporting obligations relating to counterparty refere data for counterparties resident in a reporting memi state. ¹	
	Reporting agent	Observed agent
Town of countermonts identified		
Type of counterparty identifier		
Counterparty identifier		
Legal Entity Identifier (LEI)		
National identifier (from ECB's list of national identifiers)		
1st identifier (optional, if available - from the list published by Bundesbank) ³		
 n-th identifier (optional, if available - from the list published by Bundesbank) ³		
Type of head office undertaking identifier		
Head office undertaking identifier		
Type of immediate parent undertaking identifier		
Immediate parent undertaking identifier		
Type of ultimate parent undertaking identifier		
Ultimate parent undertaking identifier		
Name		
Address: street		
Address: city/town/village		
Address: county/administrative division		
Address: postal code		
Address: country		
Legal form		
Institutional sector		
Economic activity		
Status of legal proceedings		
Date of initiation of legal proceedings		
Enterprise size		
Date of enterprise size		
Number of employees		
Balance sheet total		
Annual turnover		
Accounting standard		

	ing to counterparty reference					
data for counterparties not resident in a reporting						
member state. ²						
Reporting agent	Observed agent					
	▌┝─────					

2. Reporting obligations for the reference data of the debtor

As at end	
Reporting agent identifier	

Attribute does not require reporting Attribute requires reporting

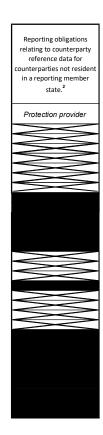
Attribute does not require reporting by small reporting agents (as defined above)

	Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state. ¹			
	Debtors – all instruments originated prior to 1 September 2018 (existing business)	Debtors – at least one instrument originated on or after 1 September 2018 (new business)		
Type of counterparty identifier				
Counterparty identifier				
Legal Entity Identifier (LEI)		$>\!\!\!\!\!\!\!\!\!\!\!\!\!$		
National identifier (from ECB's list of national identifiers)				
1st identifier (optional, if available - from the list published by Bundesbank) 5				
n-th identifier (optional, if available - from the list published by Bundesbank) 5				
Type of head office undertaking identifier		\geq		
Head office undertaking identifier		$>\!\!<$		
Type of immediate parent undertaking identifier				
Immediate parent undertaking identifier		$>\!\!<$		
Type of ultimate parent undertaking identifier				
Ultimate parent undertaking identifier				
Name				
Address: street				
Address: city/town/village				
Address: county/administrative division				
Address: postal code				
Address: country				
Legal form		\geq		
Institutional sector				
Economic activity				
Status of legal proceedings		$>\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!$		
Date of initiation of legal proceedings		>		
Enterprise size		$>\!\!\!\!\!\!\!\!\!\!\!\!$		
Date of enterprise size		$>\!\!\!\!\!\!\!\!\!\!\!\!$		
Number of employees				
Balance sheet total				
Annual turnover		$>\!\!\!\!\!\!\!\!\!\!\!\!$		
Accounting standard				

Reporting obligations relating to counterparty reference data for counterparties not resident in a reporting member state. ² Debtors – all instruments originated prior to 1 September 2018 (existing business)					
Debtors – all instruments originated prior to 1 September 2018 (avieting business) 1 September 2018	data for counterparties not resident in a reporting				
	originated prior to 1 September 2018	instrument originated on or after 1 September 2018			
		├ ────┤			

3. Reporting obligations for the reference data of the protection provider

As at end	
Reporting agent identifier	
Attribute does not require reporting Attribute requires reporting Attribute does not require reporting by small reporting agen	ts (as defined above)
	Reporting obligations relating to counterparty reference data for counterparties resident in a reporting member state. ¹
	Protection provider
Type of counterparty identifier	
Counterparty identifier	
Legal Entity Identifier (LEI)	
National identifier (from ECB's list of national identifiers)	
1st identifier (optional, if available - from the list published by Bundesbank) ⁵	
 n-th identifier (optional, if available - from the list published by Bundesbank) ⁵	
Type of head office undertaking identifier Head office undertaking identifier	
Type of immediate parent undertaking identifier	
Immediate parent undertaking identifier	
Type of ultimate parent undertaking identifier	
Ultimate parent undertaking identifier	
Name	
Address: street	
Address: siteet Address: city/town/village	
Address: county/administrative division	
Address: postal code	
Address: country	
Legal form	
Institutional sector	
Economic activity	
Status of legal proceedings	
Date of initiation of legal proceedings	
Enterprise size	
Date of enterprise size	
Number of employees	
Balance sheet total	
Annual turnover	
Accounting standard	



4. Reporting obligations for the reference data of the corportate strucutre

If the head office undertaking identifier, the immediate parent undertaking identifier and the ultimate parent undertaking identifier are to be reported for a debtor (see above), then the following data records are to be submitted.

As at end						
Reporting agent identifier						
Attribute does not require reporting Attribute requires reporting Attribute does not require reporting by small reporting agents (a	as defined above)					
		ons relating to counterparty s resident in a reporting me			s relating to counterparty re ot resident in a reporting me	
	Head offices of undertakings (prerequisite: that it is a foreign branch)	Immediate parent undertakings	Ultimate parent undertakings	Head offices of undertakings	Immediate parent undertakings	Ultimate parent undertakings
Type of counterparty identifier Counterparty identifier Legal Entity Identifier (LEI) National identifier (from ECB's list of national identifiers) 1st identifier (optional, if available - from the list published by Bundesbank) [°]						
 n-th identifier (optional, if available - from the list published by Bundesbank) ⁵ Type of head office undertaking identifier Head office undertaking identifier			\geq		\geq	
Type of immediate parent undertaking identifier Immediate parent undertaking identifier Type of ultimate parent undertaking identifier Ultimate parent undertaking identifier Name						
Address: street Address: city/town/village Address: county/administrative division						
Address: postal code Address: country Legal form Institutional sector						\bigotimes
Economic activity Status of legal proceedings Date of initiation of legal proceedings Enterprise size						
Date of enterprise size Number of employees Balance sheet total Annual turnover						
Annual turnover Accounting standard						

5. Reporting obligations for the reference data of the Creditor, Originator and Servicer

As at end	
Reporting agent identifier	

Attribute does not require reporting Attribute requires reporting Attribute does not require reporting by small reporting agents (as defined above)

		ns relating to counterparty s resident in a reporting me		Reporting obligations relating to counterparty reference data for counterparties not resident in a reporting member state. ²		
	Creditor	Originator	Servicer	Creditor	Originator	Servicer
Type of counterparty identifier	\sim	\sim	\sim		\sim	\sim
Counterparty identifier		>>	>>			\sim
Legal Entity Identifier (LEI)		\sim	\sim			\sim
National identifier (from ECB's list of national identifiers)		>>	>>			\sim
1st identifier (optional, if available - from the list published by Bundesbank) 5	><	>	$>\!\!<$	>	>	$>\!\!<$
	>	>	>		>	>>
n-th identifier (optional, if available - from the list published by Bundesbank) \circ		>	>			>
Type of head office undertaking identifier						
Head office undertaking identifier						
Type of immediate parent undertaking identifier						
Immediate parent undertaking identifier						
Type of ultimate parent undertaking identifier						
Ultimate parent undertaking identifier						
Name						>
Address: street		>				
Address: city/town/village		>				
Address: county/administrative division						
Address: postal code		>				
Address: country						\searrow
Legal form		>				
Institutional sector						
Economic activity						
Status of legal proceedings						
Date of initiation of legal proceedings						
Enterprise size						
Date of enterprise size						
Number of employees						
Balance sheet total						
Annual turnover						
Accounting standard						