



EUROPEAN CENTRAL BANK

EUROSYSTEM

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ECB-PUBLIC

GUIDELINE (EU) 2019/[XX*] OF THE EUROPEAN CENTRAL BANK

of 7 June 2019

amending Guideline (EU) 2018/876 on the Register of Institutions and Affiliates Data

(ECB/2019/17)

THE GOVERNING COUNCIL OF THE EUROPEAN CENTRAL BANK,

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 127(2) and (5) thereof,

Having regard to the Statute of the European System of Central Banks and of the European Central Bank, and in particular Articles 5.1, 12.1 and 14.3 thereof,

Whereas:

- (1) The European Central Bank (ECB) maintains the Register of Institutions and Affiliates Data (RIAD) which is a shared dataset for the European System of Central Banks (ESCB) of reference data on legal and other statistical institutional units.
- (2) RIAD should contain data necessary for some changes in benchmarks in money markets to better support business processes across the Eurosystem and the performance of the tasks of the ESCB. In this context, RIAD should contain up-to-date relevant data for the determination of the euro short-term rate in accordance with Article 8(5) of Guideline (EU) 2019/[XX*] of the European Central Bank (ECB/2019/19)¹. Therefore, it is necessary to amend Article 22 of Guideline (EU) 2018/876 of the European Central Bank (ECB/2018/16)² to provide for this.
- (3) The collection and reporting of statistical information on pension funds (PFs) in accordance with Regulation (EU) 2018/231 of the European Central Bank (ECB/2018/2)³ is necessary to support the ECB in carrying out monetary and financial analysis, and for the contribution of the ESCB to the stability of the financial system. Consequently, PFs should be recorded in RIAD. As RIAD data are

* This number will be allocated by the Publications Office of the European Union when the Guideline is published in the Official Journal.

¹ Guideline (EU) 2019/[XX] of the European Central Bank of 10 July 2019 on the euro short-term rate (€STR) (ECB/2019/19) (OJ L [XX], [XX].2019, p. [X]).

² Guideline (EU) 2018/876 of the European Central Bank of 1 June 2018 on the Register of Institutions and Affiliates Data (ECB/2018/16) (OJ L 154, 18.6.2018, p. 3).

³ Regulation (EU) 2018/231 of the European Central Bank of 26 January 2018 on statistical reporting requirements for pension funds (ECB/2018/2) (OJ L 45, 17.2.2018, p. 3).

used to prepare the official lists of financial institutions, a new list of PFs should be published. It is therefore necessary to update Chapter VI of Guideline (EU) 2018/876 (ECB/2018/16) in relation to the specific provisions on the recording of reference data for the publication of the list of PFs.

- (4) To facilitate the identification of counterparties in the common granular analytical credit database (hereinafter 'AnaCredit') by the reporting agents in accordance with Regulation (EU) 2016/867 of the European Central Bank (ECB/2016/13)⁴ and Guideline (EU) 2017/2335 of the European Central Bank (ECB/2017/38)⁵, an additional attribute value for the confidentiality status of data recorded in RIAD needs to be included in the RIAD data exchange model. Therefore, it is necessary to amend Article 10 of Guideline (EU) 2018/876 (ECB/2018/16) to provide for this.
- (5) The amendments to Annex I and II are necessary to reflect the new provisions on the euro short-term rate and PFs.
- (6) Therefore, Guideline (EU) 2018/876 (ECB/2018/16) should be amended accordingly,

HAS ADOPTED THIS GUIDELINE:

Article 1

Amendments

Guideline (EU) 2018/876 (ECB/2018/16) is amended as follows:

1. in Article 1, paragraph 2 is replaced by the following:
 - '2. RIAD shall be the ESCB's shared dataset of reference data on individual entities and the relationships between them. RIAD shall facilitate the integration of the CSDB, the SHSDB and AnaCredit, as well as of the datasets on monetary financial institutions, investment funds, financial vehicle corporations engaged in securitisation transactions, payment statistics relevant institutions, insurance corporations and pensions funds, provided pursuant to the respective ECB legal acts on the statistical reporting requirements of these entities. RIAD will thereby support the ESCB by enabling it to derive, inter alia, consolidated banking exposures and borrowers' indebtedness on a consolidated basis.';
2. in Article 2, the following points are added:
 - '(28) "pension fund" or "PF" has the same meaning as defined in point 1 of Article 1 of Regulation (EU) 2018/231 of the European Central Bank (ECB/2018/2) (*);
 - (29) "euro short-term rate" has the same meaning as defined in point 2 of Article 2 of Guideline (EU) 2019/[XX] of the European Central Bank (ECB/2019/19)(**);

⁴ Regulation (EU) 2016/867 of the European Central Bank of 18 May 2016 on the collection of granular credit and credit risk data (ECB/2016/13) (OJ L 144, 1.6.2016, p. 44).

⁵ Guideline (EU) 2017/2335 of the European Central Bank of 23 November 2017 on the procedures for the collection of granular credit and credit risk data (ECB/2017/38) (OJ L 333, 15.12.2017, p. 66).

- (30) “sponsor” has the same meaning as ‘sponsoring undertaking’ as defined in point 3 of Article 6 of Directive (EU) 2016/2341 of the European Parliament and of the Council^(***);
- (31) “pension manager” has the same meaning as set out in paragraph 5.185 of Annex A to Regulation (EU) No 549/2013;
- (32) “confidential statistical information” has the same meaning as defined in point 12 of Article 1 of Regulation (EC) No 2533/98;

* Regulation (EU) 2018/231 of the European Central Bank of 26 January 2018 on statistical reporting requirements for pension funds (ECB/2018/2) (OJ L 45, 17.2.2018, p. 3).

** Guideline (EU) 2019/[XX] of the European Central Bank of 10 July 2019 on the euro short-term rate (€STR) (ECB/2019/19) (OJ L [XX], [XX].2019, p. [X]).

*** Directive (EU) 2016/2341 of the European Parliament and of the Council of 14 December 2016 on the activities and supervision of institutions for occupational retirement provision (IORPs) (OJ L 354, 23.12.2016, p.37).’;

3. Article 10 is amended as follows:

(a) paragraph 1 is replaced by the following:

‘1. In accordance with the confidentiality regime set out in Article 8 of Regulation (EC) No 2533/98, confidential reference data shall not be published. Statistical information taken from sources which are available to the public in accordance with national legislation shall not be considered confidential and information recorded in RIAD is usually published by the legal entities to which it relates. Any reference data not originally collected under the ESCB legal framework for statistics will be subject to the confidentiality provisions, which apply to the data. These include for instance confidentiality provisions of non-statistical legal frameworks, under which the data have been collected, and of contracts with the relevant entity which provided the data.’;

(b) paragraph 2 is replaced by the following:

‘2. NCBs shall declare the confidentiality status of each attribute value describing an entity by selecting one of the pre-defined values:

- (a) ‘F’ meaning free, i.e. not confidential and can be made public;
- (b) ‘N’ meaning that an attribute value may be released only for the use of the ESCB and of institutions for which a memorandum of understanding is in place, i.e. not for external release;
- (c) ‘C’ meaning confidential statistical information or information not originally collected under the ESCB legal framework for statistics that is subject to confidentiality restrictions; or

- (d) 'R' meaning that, in addition to the uses allowed under 2(b) of this Article, an attribute value may be shared with the reporting agent, which provided that information, and - subject to any applicable confidentiality restrictions – with other reporting agents, i.e. restricted release only.';
- (c) paragraph 3 is replaced by the following:
- '3. The ECB shall handle the information provided duly protecting confidentiality, so that the ECB shall not publish data marked as 'C', 'N' or 'R'. In respect of quantitative measures marked as 'C', 'N' or 'R', the ECB may, however, publish or distribute a range of size classes.';
- (d) paragraph 4 is replaced by the following:
- '4. The LEI and all publically used identifiers, including administrative identifiers, shall always have the value 'F'.';
- (e) paragraph 6 is replaced by the following:
- '6. The following attributes shall always have the value 'F' for entities whose attributes are listed in Annex I and 'F', 'R' or 'N' for entities whose attributes are listed in Annex II:
- (a) name;
- (b) institutional sector.';
4. The following Article 18a is inserted:

'Article 18a

Recording of reference data for PFs

1. To enable the establishment and maintenance of the list of PFs referred to in Article 3 of Regulation (EU) 2018/231 (ECB/2018/2), NCBs shall record in RIAD the attributes specified in Parts 1 and 2 of Annex I to this Guideline at the intervals prescribed. NCBs shall report any updates of these attributes, in particular when a PF joins or leaves the PF population, and record them in RIAD on a quarterly basis, within three months after each quarter end for the quarterly attributes and on an annual basis, within six months after the year end for the annual attributes.
2. In the first submission of the list of PFs, NCBs shall record in RIAD complete quarterly reference data as specified in Parts 1 and 2 of Annex I to this Guideline no later than 2 October 2019. The NCBs shall record the annual attributes in RIAD by 31 March 2020.
3. Where a PF is a branch, its relationships to its non-resident headquarters shall be recorded in RIAD. Conversely, where a PF is a headquarters, its relationships with its branches resident in other Member States whose currency is the euro shall be recorded in RIAD.
4. Relationships between PFs and management companies and sponsors shall be recorded in RIAD, as applicable. For the purposes of this Article, the term 'management companies'

shall refer to pension managers as regards the data to be reported by these entities pursuant to Regulation (EU) 2018/231 (ECB/2018/2).';

5. Article 19 is replaced by the following:

'Article 19

Regular publication of datasets

The ECB shall publish the datasets listed below as follows.

1. By 18.00 CET every working day, the ECB shall make a copy of the MFI dataset available on its website.
2. By 18.00 CET on the fourth working day following the deadline for transmitting updates, the ECB shall make a copy of the IF dataset available on its website.
3. By 18.00 CET on the second working day following the deadline for transmitting updates, the ECB shall make a copy of the FVC dataset available on its website.
4. By 18.00 CET on the last working day of the month following the month of the deadline for transmitting updates, the ECB shall make a copy of the PSRI dataset available on its website.
5. By 18.00 CET on the fourth working day following the month of the deadline for transmitting updates, the ECB shall make a copy of the IC dataset available on its website.
6. By 18.00 CET on the fourth working day following the month of the deadline for transmitting updates, the ECB shall make a copy of the PF dataset available on its website.

In each case the relevant dataset shall be the list of entities referred to in the respective ECB regulation for statistical reporting by the type of entity concerned.';

6. Article 22 is replaced by the following:

'Article 22

Reference data relevant for Regulation (EU) No 1333/2014 (ECB/2014/48)

1. Competent NCBs shall ensure that the reference data for entities to which LEIs have been assigned and that are relevant for Regulation (EU) No 1333/2014 (ECB/2014/48) are recorded in RIAD. NCBs shall record any missing reference data within five working days of notification by the ECB of the missing reference data which is relevant for Regulation (EU) No 1333/2014 (ECB/2014/48). The ECB shall notify NCBs on a weekly basis which reference data is relevant for Regulation (EU) No 1333/2014 (ECB/2014/48). The competent NCBs shall further update the reference data for entities that are relevant for Regulation (EU) No 1333/2014 (ECB/2014/48) and are recorded in RIAD, as soon as they become aware of a change to one or more attributes.
2. The euro short-term rate is based on a subset of data reported pursuant to Regulation (EU) No 1333/2014 (ECB/2014/48). Where an entity to which an LEI has been assigned is relevant for the determination of the euro short-term rate, NCBs shall record in RIAD the

European System of Accounts 2010 ('the ESA 2010') sector classification and the other attributes listed in Annex II for that entity on the same working day of notification by the ECB of which entity is relevant for the determination of the euro short-term rate. The ECB shall notify NCBs on a daily basis which reference data is relevant for the determination of the euro short-term rate.';

4. Annex I is replaced by Annex I to this Guideline;
5. Annex II is replaced by Annex II to this Guideline.

Article 2

Taking effect and implementation

1. This Guideline shall take effect on the day of its notification to the national central banks (NCBs) of the Member States whose currency is the euro.
2. The NCBs of the Member States whose currency is the euro shall comply with this Guideline from 2 October 2019.

Article 3

Addressees

This Guideline is addressed to the NCBs of the Member States whose currency is the euro.

Done at Frankfurt am Main, 7 June 2019.

For the Governing Council of the ECB

[signed]

The President of the ECB

Mario DRAGHI

'ANNEX I

REGISTER OF INSTITUTIONS AND AFFILIATES DATA (RIAD) – LISTS FOR PUBLICATION

Part 1

Attributes to be reported for datasets maintained for publication

Attribute name ^a	Relevant in the context of the list of											
	MFIs		IFs		FVCs		PSRIs ^a		ICs		PFs	
	Type	Update frequency	Type	Update frequency	Type	Update frequency	Type	Update frequency	Type	Update frequency	Type	Update frequency

Identifiers												
- RIAD code	M	d	M	q	M	q	M	a	M	q	M	q
- National identifier (as available)	M	d	O	q	M	q	M	a	M	q	M	q
- EGR code	O	d			O	q						
- LEI (as available)	M	d	M	q	M	q	M	a	M	q	M	q
- Bank identifier code (BIC)	O	d										
- ISINs (as available)	O	m	M	q	M	q			O	q	O	q
Name	M	d	M	q	M	q	M	a	M	q	M	q
Country of residence	M	d	M	q	M	q	M	a	M	q	M	q
Address***	M	d	O	q	O	q	M	a	M	q	M	q
Legal form***	M	d	O	q	O	q	O	a	O	q	O	q
Flag Listed	M	d	M	q	M	q	O	a	M	q	M	q
Type of supervision	M	d	M	q	M	q	M	a	M	q	M	q
Reporting requirements	M	d	M	q	M	q	M	a	M	q	M	q
Type of banking licence	M	d					O	a				
Legal set-up			M	q								
Flag UCITS compliance			M	q								
Flag Sub-fund			M	q								
Nature of securitisation					M	q						

Type of Investment Funds			M	q								
Investment policy for IFs			M	q								
Type of Pension Funds											M	q
Flag "Is sponsored"											M	q
Flag Payment service provider (PSP)							M	a				
Flag Payment system operator (PSO)							M	a				
Flag small PSP							M	a				
Flag PSP derogation granted							M	a				
Type of PSP license							M	a				
PSP geographical scope							M	a				

Institutional sector	M	d	M	q	M	q	M	a	M	q	M	q
Institutional sector details	M	d	M	q	M	q	M	a	M	q	M	q
Institutional sector control	M	d	M	q	M	q	M	a	M	q	M	q
NACE code	M	d	M	q	M	q	O	a	M	q	M	q
Geographic location (NUTS)***	M	d	O	q	O	q	M	a	M	q	M	q
Employment <i>domestic</i> +	O	a	O	a	O	a	O	a	O	a	O	a
Balance sheet total (ECB Regulation) <i>domestic</i> +	M	a							O ^b	a	O	a
Net assets <i>domestic</i> +	O	a	M	a								
Gross premiums written <i>domestic</i> +									M	a		
Total employment **	O	a	O	a	O	a	O	a	O	a	O	a
Total balance sheet **	M	a	O	a	O	a			O ^b	a	O	a
Gross premiums written **									M	a		

Birth date	O	d	O	q	O	q	O	a	O	q	O	q
Closure date	M	d	M	q	M	q	M	a	M	q	M	q
Flag "Is Inactive"	M	d	M	q	M	q	M	a	M	q	M	q

Flag “Is under liquidation”	M	d	O	q	M	q	M	a	M	q	O	q
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Required counterparties

Originator of FVC					M	q						
Management company (as applicable)			M	q	M	q					M ^c	q
Headquarters (as applicable)	M	d							M	q	M	q

†) excluding non-resident branches (or headquarters).

††) including non-resident branches (if applicable).

***) as applicable.

a) Please note that the list of PSRIs may overlap with the list of MFIs.

b) This should be reported at least for one of the variables depending on the data collection system.

c) This attribute refers to pension managers as regards the data reported by these entities pursuant to Regulation (EU) 2018/231 (ECB/2018/2).

Relevance: **M** (mandatory), **O** (optional), blank (not applicable).

Frequency: **a** (annual), **q** (quarterly), **m** (monthly), **d** (daily/as soon as a change occurs).

Timeframe: for annual data is (if not specified elsewhere) one month following the reference date.’

Part 2

Types of relationships between entities

	Type	Update frequency
1. Relationships within an enterprise		
Relationship between a legal unit(s) and an enterprise	O	-
2. Relationships within enterprise groups		
Control relationship between legal units	M ^d	q
Ownership (non-controlled) relationship between legal units	O	q
3. Other relationships		
Link between an originator and its FVC	M	q

Link between a management company and its FVC/IF/PF ^g , ***	M	q
Link between a non-resident branch and its resident headquarter	M	q^e
Link between a resident branch and its non-resident headquarter	M	q
Link between a sub-fund and an umbrella fund ***	M	q
Link between an entity and its ultimate parent ^f , ***	M	m
Link between a pension fund and its sponsor ***	O	q

d) only for 'banking groups' with headquarters in the euro area and for counterparties contemplated by Regulation (EU) 2016/867 (ECB/2016/13); otherwise optional.

e) at least quarterly, depending on the sector.

f) only for AnaCredit relevant entities.

g) except self-managed entities.

***) as applicable.'

‘ANNEX II

REGISTER OF INSTITUTIONS AND AFFILIATES DATA (RIAD) - LISTS NOT FOR PUBLICATION

Attributes to be reported for datasets according to their respective legal framework referred to in Chapter VII of this Guideline

Attribute name	Individual BSI and MIR statistics (iBSI-iMIR)	Regulation (EU) No 1333/2014 (ECB/2014/48) and the euro short-term rate	Entities relevant for Collateral Management	Treasury Management System (TMS)	Security Holding Statistics Database (SHSDB) ¹	Centralised Securities Database (CSDB)	Common Granular Analytical Credit database (AnaCredit) ²
Entity Identifiers							
- RIAD code	x	x	x	x	x	x	x
- LEI ^{*1}		x	x		x	x	x
- National identifiers ^{*1}			x		x	x	x
- Other Identifiers			x	x	x	x	x
Instrument Identifiers							
- ISIN					x	x	
Name	x	x	x	x	x	x	x
Country of residence	x	x	x	x	x	x	x
Address							x
Legal form							x
Institutional sector	x	x	x	x	x	x	x
Institutional sector details	x	x	x	x	x	x	x
Institutional sector control	x	x	x	x	x	x	x
Collateral group			x				
NACE code					x	x	x

Geographic location (NUTS)							x
Flag CCP		x					
Reporting requirements							x
Accounting Framework							x
Total employment							x
Total balance sheet							x
Enterprise size							x
Annual turnover							x
Status of legal proceedings							x

Birth date	x	x	x	x	x	x	x
Closure date	x	x	x	x	x	x	x
Flag "Is Inactive"	x	x	x	x	x	x	

Relationships							
- Ownership relation			x				
- Branch relation			x				
Link							
- to headquarters					x		x
- to direct controlling parent					x		x
- to ultimate controlling parent					x		x

- to management company								x
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- (1) The list of mandatory attributes for the relevant SHSDB counterparty roles is specified in the respective legal acts.
- (2) The list of mandatory attributes for a specific AnaCredit counterparty depends on its role (borrower, guarantor, etc.), residency (within/outside reporting Member State), and on the date the loan was granted as specified in the respective legal acts.
- (*¹) 'LEI' or, if not available, 'National identifiers' should be provided as mandatory attributes.'