

ATTACHMENT TO THE NOTIFICATION
UNDER ARTICLE 4(2)(A) OR APPLICATION UNDER ARTICLE 4(2)(B) FOR
EXEMPTION FROM THE CLEARING OBLIGATION OF ARTICLE 4(1) OF THE
EMIR REGULATION IN ACCORDANCE WITH ARTICLE 4(2)
INTRA GROUP TRANSACTIONS

I. Identification of the Group:

Identification of the applicant according to the registration within the IGT-Tool:

Identification of the reporting user	
Email/ IGT User ID:	max.musterfrau@xy-spv.com
First name:	Max
Surname:	Musterfrau
Department:	Legal & Compliance
Function:	Compliance Officer
Phone:	+43 555 99999999
Company Name:	XY-SPV
LEI:	123456789101234567890

A. National competent authority of the central institution¹

Please provide the competent authority of the central institution of the group.

Competent Authority of the central institution ²	
Name:	FMA
Country:	Austria

¹ according to article 2 No 21 EMIR

² If the central institution of the group is not located in Austria please insert the relevant national competent authority

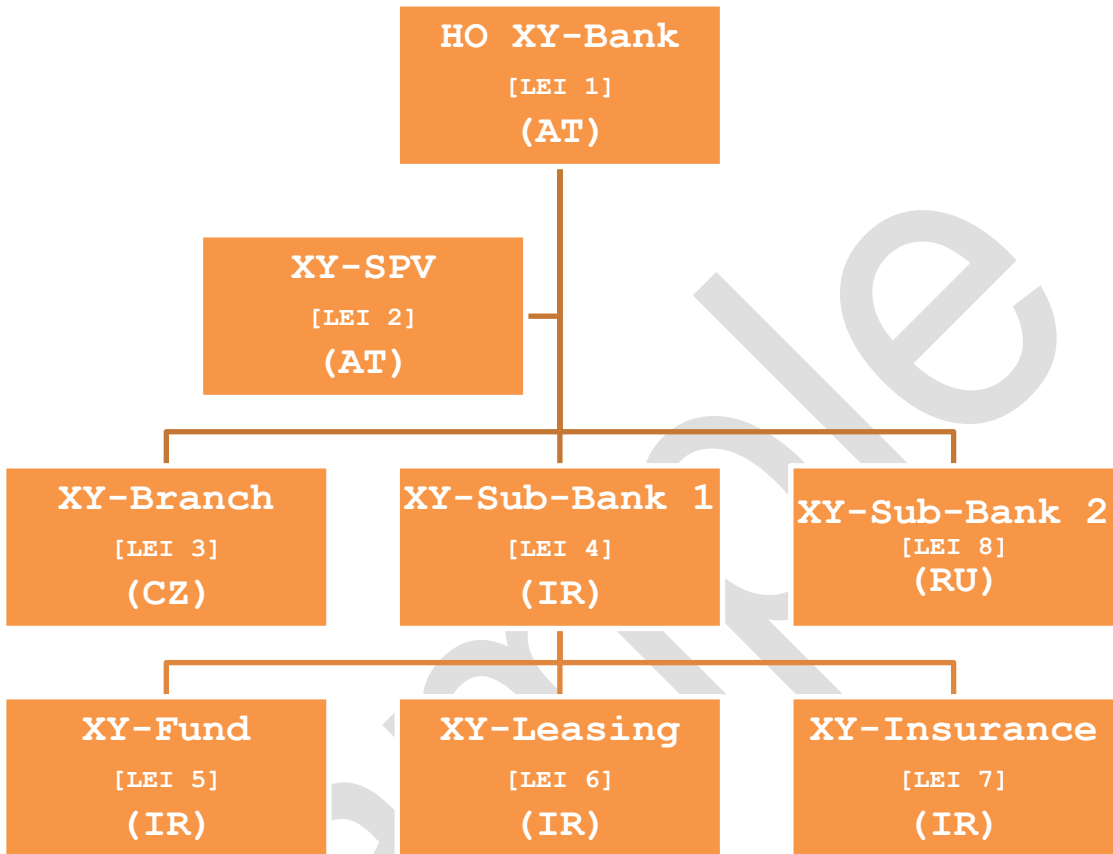
B. Competent authority of non-financial and third country intergroup counterparties not located in Austria

Please provide the competent authority of the *non-financial (not located in Austria) or third country* intragroup counterparties.

Competent prudential authority of non-financial and third country intergroup counterparties			
Intragroup counterparty	FC/NFC+	Country	Competent prudential Authority
XY-Sub-Bank 2	FC	Russia	Central Bank of Russia

C. Organizational Structure:

1. Organisational Chart³



2. Additional Information to the organizational structure

³ Own charts are allowed

II. Centralized risk evaluation, measurement and control procedures for groups according to article 3 (2a) and 3 (2d) EMIR

Groups according to article 3 (2b) and article 3 (2c) EMIR do not have to provide the Information listed in Section II

A. Centralised Risk Management

Evidence that the group is subject to appropriate centralised risk evaluation, measurement and control procedures according to article 3 (2a) (iv) and article 3 (2d) EMIR. It is sufficient to provide the information below once for the group. If there are different procedures for certain entities within the group, please define these procedures separately in detail under point B.

1. Risk management policies and controls

[describe the risk management policies and controls and how they are centrally defined and applied]

Enter the requested information here!

2. Senior Management

[demonstrate that senior management is responsible for risk management and that risk measurement is regularly reviewed]

Enter the requested information here!

3. Transparent communication mechanisms

[demonstrate that regular and transparent communication mechanisms are established within the organisation, so that the management body, senior management, business lines, the risk management function and other control functions can all share information about risk measurement, analysis and monitoring]

Enter the requested information here!

4. Internal Procedures and Information Systems

[demonstrate that internal procedures and information systems are consistent throughout the institution and reliable so that all sources of relevant risks can be identified, measured, and monitored on an aggregated basis and also, to the extent necessary, by entity, business line, and portfolio;]

Enter the requested information here!

5. Regularly report to Central Risk Management

[demonstrate that key risk information is regularly reported to the central risk management function to enable appropriate centralised evaluation, measurement and control risk across the relevant group entities.]

Enter the requested information here!

B. Additional Information on Centralised Risk Management

If the information provided under point A is not applicable for the whole group and there are different procedures for certain entities within the group (e.g. NFCs), please define these procedures separately. Please provide the information under point A (question 1-5) for each pair of entities.

C. Information on consolidated supervision according to article 3 (2a) (iii) and article 3 (2d) EMIR in context with article 3 (3) EMIR

Same consolidation according to article 3 (3a) EMIR	
<input checked="" type="checkbox"/> YES	The group is included in a consolidation in accordance with Directive 83/349/EEC or International Financial Reporting Standards (IFRS) adopted pursuant to Regulation (EC) No 1606/2002 or, in relation to a group the parent undertaking of which has its head office in a third country, in accordance with generally accepted accounting principles of a third country determined to be equivalent to IFRS in accordance with Regulation (EC) No 1569/2007 (or accounting standards of a third country the use of which is permitted in accordance with Article 4 of that Regulation)
<input type="checkbox"/> NO	

OR:

NCA performing the consolidated supervision ⁴ according to article 3 (3b) EMIR	
<input checked="" type="checkbox"/> YES	The group is covered by the same consolidated supervision in accordance with Directive 2006/48/EC or Directive 2006/49/EC or, in relation to a group the parent undertaking of which has its head office in a third country, the same consolidated supervision by a third-country competent authority verified as equivalent to that governed by the principles laid down in Article 143 of Directive 2006/48/EC or in Article 2 of Directive 2006/49/EC.
<input type="checkbox"/> NO	
NCA performing the consolidated supervision	FMA
Country:	Austria

⁴ If the central institution of the group is not located in Austria please insert the relevant national competent authority (NCA)

III. Information to be provided to FMA for groups according to article 3 (2b) and 3 (2c)

A. Groups according to article 3 (2b) EMIR

Please provide the date and file number of the actual approval that the members of the group are part of the same institutional protection scheme, referred to in Article 80(8) of Directive 2006/48/EC

Group according to article 3 (2b) EMIR	
Date of approval	
Approving authority	
File number	

B. Groups according to article 3 (2c) EMIR

Please provide the date and the file number of the actual approval that the credit institutions of the group are affiliated to the same central body as referred to in Article 3(1) of Directive 2006/48/EC

Group according to article 3 (2c) EMIR	
Date of approval	
Approving authority	
File number	

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