

Submission Date

26/02/2021

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Additional Information

Level 1 Regulation

Securitisation Regulation (EU) 2017/2402

Topic

Securitisation Disclosure Templates

Subject Matter

Annexes 14 and 15: Inside Information or Significant Event Information - For which counterparties should information be reported?

Question

(a) What is the appropriate scope as to which counterparties should be reported for any transaction. In other words, should all counterparty (types) be reported such as all the types mentioned in SESP4?

(b) Does this reporting obligation also cover counterparty types which are not included in the list mentioned in SESP4 and SEAP4, such as for example the listing agent?

ESMA Answer

26-02-2021

Original language

[ESMA 33-128-563 Securitisation Q&A, Q&A 5.15.1]

(a) As set out in Article 8(1)(c) of the RTS on disclosure, information on each counterparty in the securitisation shall be made available, via the counterparty information section. Further narrative descriptions are available in paragraph 60(b) (on page 35) of ESMA's CP on the disclosure technical standards.

(b) As set out in Article 8(1)(c) of the RTS on disclosure, information on each counterparty in the securitisation shall be made available, via the counterparty information section. Where a counterparty type is not included in the list in SESP4 and SEAP4 the option "OTHR" should be used.