

Competent authorities supervising compliance of institutional investors, sponsors, originators, SSPes, original lenders and third parties with Regulation 2402/2017 (the Securitisation Regulation or SecReg)

<div>Dublin under Art. 29(1)-(5)</div> <div>Member States</div>	Competent authority supervising compliance of insurance and reinsure undertakings with Article 5 of SecReg	Competent authority supervising compliance of alternative investment fund managers with Article 5 of SecReg	Competent authority supervising compliance of institutions for occupational retirement provision with Article 5 of SecReg	Competent authority supervising compliance of insurance and reinsure undertakings with Article 5 of SecReg	Competent authority supervising compliance of credit institutions or investment firms with Article 5 of SecReg	Competent authority supervising compliance of sponsors with Articles 6, 7, 8 and 9 of SecReg	Competent authority supervising compliance of originators, original lenders and SSPes with Articles 6, 7, 8 and 9 of SecReg	Competent authority supervising compliance of originators, original lenders and SSPes - established in the Union and not covered by the Union legislative acts - with Articles 6, 7, 8 and 9 of SecReg	Competent authority supervising compliance of originators, sponsors and SSPes with Articles 18 to 27 of SecReg	Competent authority supervising compliance of third parties with Article 28 of SecReg	Market Authority (MA) Prudential Authority (PA); Insurance Authority (IA) Single Authority (SA)	Number of designated CAs	JCS
Austria	Financial Market Authority (FMA)	FMA	FMA	FMA	FMA	FMA	FMA	FMA	FMA	FMA	MA	1	1
Belgium	National Bank of Belgium (NBB)	Financial Services and Markets Authority (FSMA)	FSMA	FSMA	NBB (and ECB)	NBB (and ECB)	FSMA/NBB (and ECB)	[to be provided]	[to be provided]	[to be provided]	MA, PA and ECB	2	1
Bulgaria	Financial Supervision Commission (FSC)	FSC	FSC	FSC	Bulgarian National Bank (BNB) & FSC	BNB and FSC	BNB and FSC	N/A	BNB and FSC	FSC	MA & PA	2	0
Croatia	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	0	0
Cyprus	The Superintendent of Insurance (SI)	Cyprus Securities & Exchange Commission (CySEC)	CySEC	Registrar of Occupational Retirement Benefits Funds (RORBF)	The Cyprus Central Bank (CBC) for the credit institutions and CySEC for the investment firms authorised under MFID	The CBC for sponsors (credit institutions) under its supervision and CySEC for the investment firms authorised under MFID	CySEC for entities which fall under 29(1)(b)-(c) of SecReg and investment firms authorised under MFID; SI for entities that fall under 29(1)(a) of SecReg; RORBF for entities that fall under 29(1)(d) - CBC for credit institutions that fall under Directive 2013/36/EU.	CySEC	CySEC	CySEC	PA, MA + SI + Pension Authority	4	0
Czech Republic	Czech National Bank (ČNB)	ČNB	ČNB	ČNB	ČNB	ČNB	ČNB	ČNB	ČNB	ČNB	PA	1	0
Denmark	Finanstilsynet (DFS)	DFS	DFS	DFS	DFS	DFS	DFS	DFS	DFS	DFS	MA	1	0
Estonia	Finantsinspektor	Finantsinspektor	Finantsinspektor	Finantsinspektor	Finantsinspektor	Finantsinspektor	Finantsinspektor	Finantsinspektor and n/a	Finantsinspektor	Finantsinspektor	MA	1	0
Finland	Finanssivalvonta (FIN-FSA)	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	FIN-FSA	MA	1	0
France	Autorité de contrôle prudentiel et de résolution (ACPR)	Autorité des marchés financiers (AMF)	AMF	ACPR	ACPR for Less Significant Institutions (LSI); ECB for Significant Credit Institutions (SCI)	ACPR for LSI; ECB or ACPR for SCI (under discussion)	AMF for SSPE/originator or initial lenders which are AIFs/AIFMD or UCITS/UCITS managers; ACPR for insurance undertakings; ACPR for LSI; ECB or ACPR for SCI (under discussion)	AMF	AMF	AMF	MA, PA & ECB	2	3
Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	BaFin	BaFin	BaFin	BaFin (and ECB)	BaFin (and ECB)	BaFin (and ECB)	BaFin	BaFin	BaFin	SA & ECB	1	3
Greece	Bank of Greece	HCMC	HCMC	HCMC	Bank of Greece for credit institutions & HCMC for IFs	Bank of Greece for credit institutions & HCMC for IFs	Bank of Greece for credit institutions & HCMC for IFs	[to be provided]	Bank of Greece for credit institutions & HCMC for IFs	[to be provided]	PA MA	2	2
Hungary	Central Bank of Hungary - Magyar Nemzeti Bank (MNB)	MNB	MNB	MNB	MNB	MNB	MNB	MNB	MNB	MNB	PA	1	1
Ireland	Central Bank of Ireland (CBI)	CBI	CBI	The Pension Authority	CBI	CBI	CBI	CBI	CBI	CBI	SA + Pensions author	2	1
Italy	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	0	2
Latvia	Financial and Capital Markets Commission (FCMC)	FCMC	FCMC	FCMC	FCMC	FCMC	FCMC	[to be provided]	[to be provided]	[to be provided]	MA	1	0
Lithuania	Bank of Lithuania (LB)	LB	LB	LB	LB	LB	LB	LB	LB	LB	SA	1	0
Luxembourg	Commissariat aux Assurances (CAA)	Commission de Surveillance du Secteur Financier (CSSF)	CSSF	CAA/CSSF	CSSF	CSSF	CAA/CSSF	CSSF	CSSF	CSSF	SA, IA	2	1
Malta	Malta Financial Services Authority (MFSA)	MFSA	MFSA	MFSA	ECB for Significant Credit Institutions (SCIs); MFSA for Less Significant Institutions (LSIs) & Investment Firms (IFs)	Articles 6 to 8 : MFSA for SCIs and IFs; Article 9: ECB for SCIs and FSA for LSIs & IFs	Articles 6-8 : MFSA for all institutions; Article 9: ECB for SCIs and MFSA for remaining institutions	[to be provided]	MFSA	MFSA	MA and ECB	1	1
Netherlands	Dutch National Bank (DNB)	Dutch Authority for the Financial Markets (AFM)	AFM	DNB	DNB	DNB	DNB and/or AFM	DNB for SSPEs linked to originators or sponsors that are under its supervision according to Article 29 (3) of SecReg; for all other entities	DNB for Articles 18 to 27	AFM	MA, PA	2	3
Poland	The KNF - Polish Financial Supervision Authority (KNF)	KNF	KNF	KNF	KNF	KNF	KNF	KNF	KNF	KNF	MA	2	0
Portugal	Autoridade de Supervisão de Seguros e Fundos de Pensões - Portuguese Insurance and Pension Funds Supervisory Authority (ASF)	Comissão do Mercado de Valores Mobiliários - Portuguese Securities Market Commission (CMVM)	CMVM	ASF	Banco de Portugal - Portuguese Central Bank (BP)	BP	CMVM and ASF and BP	CMVM	BP and CMVM	CMVM	MA, PA and IA	3	0
Romania	Financial Supervisory Authority (ASF)	ASF	ASF	ASF	ASF (investment firms); National Bank of Romania (NBR) for credit institutions	ASF for sponsors that are investment firms; NBR for sponsors that are credit institutions	ASF for special securitisation purpose entities (SSPE); ASF for originators and original lenders (if they are entities under the supervision of ASF); NBR for credit institutions in their role as originators and original lenders	ASF for SSPE and for originators and original lenders (if they are entities under the supervision of ASF)	ASF for SSPE: sponsors (that are investment firms) and for originators (if they are entities under the supervision of ASF)	ASF for third party, if the entity which uses the services of that third party, according to Article 27 (2) of SecReg, is an entity under the supervision of ASF	MA, PA	2	0
Slovakia	National Bank of Slovakia (NBS)	NBS	NBS	NBS	NBS	NBS	NBS	NBS	NBS	NBS	SA	1	0
Slovenia	Insurance Supervision Agency (ISA)	Securities Market Agency (SMA)	SMA	ISA and Bank of Slovenia (BS)	SMA and BS	SMA and BS	ISA, SMA and BS	SMA	ISA, SMA and BS	SMA	MA, IA and PA	3	0
Spain	Dirección General de Seguros y Fondos de Pensiones (DGSFP)	Comisión Nacional de Mercado de Valores (CNMV)	CNMV	DGSFP	CNMV and Banco de España	CNMV and Banco de España	CNMV and Banco de España	CNMV and Banco de España	CNMV	CNMV	[to be provided]	0	1
Sweden	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	Finansinspektionen	MA	1	0
ECB	NA	NA	NA	NA	[To be provided]	[To be provided]	[To be provided]	NA	NA	NA	PA	1	1
EEA countries													
Iceland	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]			0
Liechtenstein	Financial Markets Authority (FMA)	FMA	FMA	FMA	FMA	FMA	FMA	FMA	FMA	FMA			0
Norway	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]	[to be provided]			0
Other Countries													
United Kingdom*	Prudential Regulation Authority (PRA)	Financial Conduct Authority (FCA)	FCA	The Pensions Regulator (TPR)	Where entities are PRA-Authorised, the PRA. In all other cases, the FCA.	Where entities are PRA-Authorised, the PRA. In all other cases, the FCA.	Where entities are PRA-Authorised, the PRA. In all other cases, the FCA.	Where entities are PRA-Authorised, the PRA. In all other cases, the FCA.	FCA	FCA	MA, PA and Pension Authority	3	2
											CAs	41	21
											ESAs	3	3
											COM	1	1
											EEA	0	0
											Total	45	25

*In accordance with the Withdrawal Agreement signed between the European Union and the UK, during the transition period (i.e. until 31 December 2020), Union law shall be applicable to and in the United Kingdom and shall produce in respect of and in the United Kingdom the same legal effects as those which it produces within the Union and its Member States.