

Brussels, 23 July 2020
(OR. en)

9882/20

**Interinstitutional File:
2016/0360(COD)**

EF 170
ECOFIN 658
CCG 32
CODEC 671

INFORMATION NOTE

From:	General Secretariat of the Council
To:	Delegations
No. Cion doc.:	COM(2016) 850final
Subject:	Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulation (EU) No 575/2013 as regards the leverage ratio, the net stable funding ratio, requirements for own funds and eligible liabilities, counterparty credit risk, market risk, exposures to central counterparties, exposures to collective investment undertakings, large exposures, reporting and disclosure requirements and amending Regulation (EU) No 648/2012 - list of working papers (WK) distributed

The following working papers (WK) were distributed by the General Secretariat of the Council with regard to the above file:

Reference	Creation date	Subject
WK 10200 2017 INIT	25/09/2017	170922-AT-non-paper_acc_Article_21a
WK 10226 2017 INIT	25/09/2017	DRAFT Presidency paper on LE 220917-TC_fina
WK 10226 2017 REV 1	25/09/2017	Large exposures Mandatory use of credit risk mitigation (CRM) technique and substitution approach
WK 10238 2017 INIT	25/09/2017	Strengthening the effectiveness of the supervision of (Mixed) Financial Holding Companies

WK 10250 2017 INIT	25/09/2017	Authorisation of financial holding companies and mixed financial holding companies
WK 10406 2017 INIT	27/09/2017	Proportionality: Reporting and Disclosure
WK 10858 2018 INIT	19/09/2018	Agenda (CRR/CRD) (24 and 25 September)
WK 10858 2018 REV 1	21/09/2018	Final Agenda (CRR/CRD) (24 and 25 September)
WK 10863 2018 INIT	19/09/2018	2nd & 3rd Trilogues Progress report and confirmation of preliminary agreements, CRR/CRD
WK 10972 2018 INIT	21/09/2018	PREPARATORY NOTE FOR 4th & 5th TRILOGUES
WK 11093 2017 INIT	09/10/2017	Recognition of capital instruments issued by subsidiaries in third countries
WK 11175 2017 INIT	10/10/2017	Commission non-paper providing technical clarifications on the Articles 124 and 164
WK 11182 2017 INIT	10/10/2017	INTERMEDIATE PARENT UNDERTAKING (IPU) PROPOSAL: LU & UK NON-PAPER
WK 11229 2017 INIT	11/10/2017	CZ note on simplified NSFR reporting requirements for small institutions
WK 11263 2017 INIT	11/10/2017	Preliminary Agenda (16 October 2017)
WK 11263 2017 REV 1	13/10/2017	Final Agenda - RRM Working Party Meeting of 16 October 2017
WK 11285 2017 INIT	12/10/2017	NSFR – Derivatives Future Funding Risk
WK 11339 2017 INIT	13/10/2017	Presidency non-paper on targeted changes to the macro prudential toolkit
WK 1160 2017 REV 1	03/02/2017	UPDATED Agenda for the 6/7 February 2017 RRM Meeting (Attachés + Experts)
WK 11801 2018 INIT	08/10/2018	(CRR/CRD) Banking Package Trilogue - progress report
WK 11809 2018 INIT	08/10/2018	(CRR/CRD) Banking Package Trilogue - follow-up on specific topics
WK 1181 2017 INIT	02/02/2017	Articles 72a, 72b and 72c CRR Criteria for eligible liabilities
WK 11814 2018 INIT	08/10/2018	(CRR/CRD) Banking Package Trilogue - Preparatory Paper for the Upcoming Trilogue(s)

WK 11816 2018 INIT	08/10/2018	European Banking Authority (EBA) - Stance on the Risk Reduction Measures Package
WK 1182 2017 INIT	02/02/2017	Bail-in and eligibility of structured notes: technical regard on the conditions for bail-inable structured notes
WK 11824 2018 INIT	08/10/2018	Agenda - 9 and 10 October 2018
WK 1184 2017 INIT	02/02/2017	Rationale behind MREL requirement and MREL guidance
WK 1203 2017 INIT	02/02/2017	Agenda for the 15/16 February 2017 RRM Meeting (Attachés + Experts)
WK 1203 2017 REV 1	13/02/2017	UPDATED Agenda for the 15/16 February 2017 RRM Meeting (Attachés + Experts)
WK 12512 2017 INIT	03/11/2017	Exemption of Ireland's National Promotional Institution, the Strategic Banking Corporation of Ireland (SBCI), from the Scope of CRD/CRR
WK 12523 2017 INIT	05/11/2017	CONSOLIDATED CRR TEXT & OUTSTANDING ISSUES
WK 12524 2017 INIT	05/11/2017	Market Risk: On-going Basel Review
WK 12554 2017 INIT	06/11/2017	Draft Agenda
WK 12554 2017 REV 1	08/11/2017	Final Agenda
WK 12580 2017 INIT	06/11/2017	Proposed amendments to selected items related to the macro-prudential framework in EU - Presidency note
WK 1275 2017 INIT	03/02/2017	SRB Presentation
WK 12765 2017 INIT	08/11/2017	Presidency paper on macro-prudential framework in EU, articles 124 and 164
WK 12796 2017 INIT	08/11/2017	CRR/CRD Negotiations: Pillar 2
WK 1287 2017 INIT	03/02/2017	Article 99 and Part Eight of the CRR 'Amendments to the Reporting and Disclosure Framework', respectively
WK 1288 2017 INIT	03/02/2017	Articles 272 to 283, 298 and 299 CRR 'Counterparty credit risk'
WK 12940 2018 INIT	26/10/2018	Working Party Financial Services – RRM (CRR/CRD) (Attachés) Agenda - 29 October 2018, 10.30 AM

WK 13024 2018 INIT	26/10/2018	FOLLOW-UP ON 5TH TRILOGUE AND FEEDBACK FROM MEMBER STATES
WK 13026 2018 INIT	26/10/2018	(CRR/CRD) Banking Package Trilogue Preparatory Paper for the Upcoming Trilogue(s)
WK 13043 2017 INIT	13/11/2017	Draft Agenda
WK 13117 2017 INIT	14/11/2017	The revised market risk standard in CRR2 – Appropriate sensitive risk-weights for covered bonds
WK 13118 2017 INIT	14/11/2017	Market Risk
WK 13119 2017 INIT	14/11/2017	CRR & CRD: OUTSTANDING ISSUES
WK 13119 2017 REV 1	15/11/2017	CRR & CRD: OUTSTANDING ISSUES (REVISED)
WK 13143 2017 INIT	15/11/2017	Pillar 2 Requirements: proposed amendments to selected items related to the macro-prudential framework in EU
WK 13143 2017 REV 1	15/11/2017	Pillar 2 Requirements: proposed amendments to selected items related to the macro-prudential framework in EU
WK 1317 2018 INIT	05/02/2018	Working Party Financial Services (RRM) Attachés AGENDA
WK 1319 2018 INIT	05/02/2018	RRM Legislative Package BG Presidency's suggested approach on "Key Political Issues"
WK 13207 2017 INIT	15/11/2017	Revised Agenda for the WP on 16 November
WK 1321 2018 INIT	05/02/2018	Leverage ratio buffer for systemic banks
WK 13494 2017 INIT	20/11/2017	Consolidated CRR Text
WK 13525 2017 INIT	21/11/2017	Draft Agenda (22 November 2017)
WK 13542 2017 INIT	21/11/2017	Introductory Note: Presidency's CRR & CRD compromise
WK 13945 2017 INIT	27/11/2017	Agenda
WK 1417 2017 INIT	08/02/2017	Proportionality

WK 14174 2018 INIT	19/11/2018	Working Party on Financial Services (Risk Reduction Measures) - Attachés only 21 November 2018 (09.00) - Agenda
WK 148 2018 INIT	10/01/2018	Large Exposures
WK 1480 2017 INIT	09/02/2017	Articles 94, 102 to 106, 325 to 325bq, 501b, 519a CRR 'Market risk'
WK 1481 2017 INIT	09/02/2017	Articles 411, 413, 428a-ag & 510 CRR Net Stable Funding Ratio (NSFR)
WK 1488 2017 INIT	09/02/2017	Joint Croatian and Bulgarian non-paper on "large exposure treatment of sovereign debt of non-eurozone countries denominated in euro"
WK 1523 2017 INIT	09/02/2017	Article 473a CRR Introduction of IFRS 9
WK 1552 2017 INIT	10/02/2017	Pillar 2 Requirements and Guidance and Interest Rate Risk in the Banking Book (IRRBB) * Articles 84, 97-99, 103, 104, 104a, 104b, 104c, 105, 141 and 141a CRD IV *
WK 15691 2018 INIT	18/12/2018	Updated CRR 4 column table (of 18 September 2018)
WK 1580 2017 INIT	10/02/2017	"MREL/TLAC eligibility criteria"
WK 1581 2017 INIT	10/02/2017	"Structured notes"
WK 1582 2017 INIT	10/02/2017	"MREL Requirement and Guidance"
WK 15867 2018 INIT	21/12/2018	Updated CRR 4 column tables (of 21 December 2018) following technical meetings
WK 1616 2017 INIT	13/02/2017	'Leverage Ratio' * Articles 92(1) (d), 429, 429a-429g CRR *
WK 1793 2017 INIT	17/02/2017	EBA Presentation
WK 1814 2016 INIT	13/12/2016	Commission Presentation of the Risk Reduction Measures package
WK 193 2017 INIT	09/01/2017	Agenda for the 12/13 January 2017 RRM Meeting (Experts)
WK 2022 2018 INIT	19/02/2018	Amendments to the CRR and CRD Texts: COVER NOTE

WK 2023 2018 INIT	19/02/2018	CRR Consolidated text - Presidency compromise
WK 2025 2018 INIT	19/02/2018	Agenda (20 February 2018)
WK 2060 2018 INIT	20/02/2018	P2G & MAR_Presidency non paper
WK 2062 2018 INIT	20/02/2018	MAR - ESMA70-145-440 Letter to the EU Council on CRD-CRR amendment of MAR
WK 242 2018 INIT	11/01/2018	Equity Investments in Funds
WK 249 2018 INIT	11/01/2018	Articles 124/164 CRR - Presidency non-paper
WK 2561 2018 INIT	28/02/2018	Agenda (1 and 2 March 2018)
WK 2573 2018 INIT	01/03/2018	Presidency compromise text CRD
WK 2574 2018 INIT	01/03/2018	Presidency compromise text CRR
WK 2575 2018 INIT	01/03/2018	Final amendments to the CRR and CRD Texts: COVER NOTE
WK 2618 2018 INIT	02/03/2018	MREL framework – a compromise solution as regards subordination requirements
WK 2620 2018 INIT	02/03/2018	FRTB Implementation – A compromise solution based on reporting requirements
WK 2700 2018 INIT	05/03/2018	Agenda (5 March 2018 @14h00)
WK 2707 2018 INIT	05/03/2018	Amendments to FRTB proposal and technical corrections in the CRR and CRD Texts COVER NOTE
WK 2711 2018 INIT	05/03/2018	CRR Updated consolidated text for discussion at the 5 March WP meeting
WK 2811 2017 INIT	13/03/2017	Agenda for the 16 March 2017 RRM Meeting (Attachés + Experts)
WK 2845 2017 INIT	13/03/2017	Possible changes to Article 473a CRR * Phase-in of regulatory impact of the introduction of IFRS 9
WK 2846 2017 INIT	13/03/2017	Article 493(4) & (5) CRR * Large exposures treatment of sovereign debt of non- Eurozone countries denominated in Euro
WK 289 2018 INIT	12/01/2018	Calibration of the leverage ratio - systemic surcharge

WK 2899 2017 INIT	14/03/2017	Splitting and fast tracking of articles in the Proposal for a Regulation amending CRR
WK 2955 2017 INIT	15/03/2017	SME Supporting Factor Article 501 CRR
WK 2957 2017 INIT	15/03/2017	Interest Rate Risk in the Banking Book (IRRBB) Framework Articles 84, 98, 104, 104a of CRDIV and Article 448 of CRR
WK 2963 2017 INIT	15/03/2017	Infrastructure Exposures Article 501a CRR
WK 2968 2017 INIT	15/03/2017	Reporting Amendments to Articles 99 (1),(4),(7),(8)& (11), 101(5), 394(3)& (4), 430(1) of the CRR
WK 2968 2017 REV 1	15/03/2017	Reporting Amendments to Articles 99 (1),(4),(7),(8)& (11), 101(5), 394(3)& (4), 430(1) of the CRR
WK 3061 2017 INIT	15/03/2017	Disclosure requirements: Article 430a CRR
WK 3563 2017 INIT	24/03/2017	Tentative agenda for the 30/31 March 2017 RRM Meeting (Attachés + Experts)
WK 3563 2017 REV 1	29/03/2017	UPDATED agenda for the 30/31 March 2017 RRM Meeting (Attachés + Experts)
WK 3631 2017 INIT	27/03/2017	Pillar 2 Requirements: proposed amendments to selected issues
WK 3639 2017 INIT	27/03/2017	Intermediate Parent Undertaking (IPU) Proposal: LU & UK Non-paper
WK 3659 2017 INIT	27/03/2017	ECB Staff non-paper on Mixed Financial Holding Companies
WK 3660 2017 INIT	27/03/2017	Counterparty Credit Risk: Proportionality & RTS Mandates
WK 3662 2017 INIT	27/03/2017	Phase-in of market risk capital requirement following implementation of the Fundamental review of the trading book
WK 3663 2017 INIT	27/03/2017	Leverage Ratio: Article 429a CRR
WK 3687 2017 INIT	28/03/2017	Specifics of German Promotional Banks and Rationale for Exemption from CRR/CRD Scope
WK 3714 2017 INIT	28/03/2017	SE non-paper on macroprudential and systemic risks

WK 3729 2017 INIT	29/03/2017	Proposed changes to Article 473a CRR * Phase-in of regulatory impact of the introduction of IFRS 9
WK 3730 2017 INIT	29/03/2017	Market risk: Phase-in & Proportionality
WK 3731 2017 INIT	29/03/2017	Contribution of the Export Credits Group to the Financial Services Working Party (FSWP) on the exception for export credits to the leverage ratio in the amendment to the Capital Requirements Regulation (CRR) (Article 429a(f) of doc. 14775/16)
WK 3732 2017 INIT	29/03/2017	Selected issues on market risk
WK 3789 2017 INIT	29/03/2017	NON-PAPER ON THE MALTESE DEVELOPMENT BANK
WK 3792 2017 INIT	29/03/2017	Presentation on IPU Proposal (re. LU/UK Non-paper)
WK 3921 2017 INIT	01/04/2017	Agenda for the 4 April 2017 RRM Meeting (Attachés + Experts)
WK 3922 2017 INIT	01/04/2017	Articles 72a, 72b and 72c CRR: Eligible liabilities Items and Instruments
WK 3923 2017 INIT	01/04/2017	Follow-up to Commission services' note on the proposed revisions to the mechanism of allocation of MREL capacity within groups intra-EU
WK 3925 2017 INIT	01/04/2017	HOME-HOST BALANCE IN THE RRM PROPOSALS
WK 4629 2017 INIT	21/04/2017	Agenda for the 26 April 2017 RRM (Morning) Meeting (Attachés + 1 Expert)
WK 4630 2017 INIT	21/04/2017	Agenda for the 26 April 2017 (afternoon) RRM Meeting (Attachés + Experts)
WK 467 2017 INIT	17/01/2017	Agenda for the 23/24 January 2017 RRM Meeting (Experts)
WK 4697 2017 INIT	24/04/2017	Proposed changes to Article 473a CRR - Phase-in of regulatory impact of the introduction of IFRS 9 (Presidency non-paper)
WK 4698 2017 INIT	24/04/2017	Articles 492(4) & (5) CRR: Large exposures treatment of sovereign debt of non-Eurozone countries denominated in Euro (Presidency non-paper)
WK 4703 2017 INIT	25/04/2017	Articles 72a, 72b and 72c CRR - Eligible liabilities Items and Instruments (Presidency non-paper)
WK 4723 2017 INIT	25/04/2017	HOME-HOST BALANCE IN THE RRM PROPOSALS

WK 4724 2017 INIT	25/04/2017	Issues note on the way forward as regards the negotiations in the Council on the RRM package
WK 4928 2018 INIT	25/04/2018	For information: ECB comments on the Banking Package
WK 4995 2017 INIT	02/05/2017	MODIFIED STATIC APPROACH (MSA): WORKED EXAMPLE
WK 5034 2017 INIT	02/05/2017	Agenda for the 4 May 2017 RRM (morning) meeting (Attachés + Experts)
WK 5035 2017 INIT	02/05/2017	Scope of the entities for which a MREL Pillar 1 should apply
WK 5102 2017 INIT	03/05/2017	Articles 72a, 72b and 72c CRR: Eligible liabilities Items and Instruments
WK 5362 2018 INIT	03/05/2018	Agenda 7 May 2018
WK 5363 2018 INIT	03/05/2018	CRR & CRD - REMAINING ARTICLES IN BRACKETS
WK 5364 2018 INIT	03/05/2018	CRR – TECHNICAL AMENDMENTS
WK 5366 2018 INIT	03/05/2018	FRTB amendments
WK 5390 2018 INIT	04/05/2018	CRR - Presidency compromise text
WK 5702 2017 INIT	19/05/2017	Commission services' note on certain home – host issues
WK 5717 2017 INIT	19/05/2017	Agenda for the 22 May 2017 RRM Meeting (Attachés + Experts)
WK 5723 2017 INIT	19/05/2017	Articles 72a, 72b and 72c CRR: Eligible liabilities Items and Instruments
WK 5970 2017 INIT	29/05/2017	Agenda for the 30 May 2017 RRM Meeting (Attachés only)
WK 6515 2017 INIT	12/06/2017	ECOFIN Preparation: SBU - Presidency Progress Report (9484/17) drafting suggestions
WK 7620 2017 INIT	04/07/2017	Preliminary Agenda Working Party on Financial Services (RRM) 14 July 2017
WK 7653 2017 INIT	05/07/2017	Pillar 2 Requirements: amendments to the macro-prudential framework in EU
WK 7670 2017 INIT	05/07/2017	Interest Rate Risk in the Banking Book (IRRB)

WK 7919 2017 INIT	07/07/2017	Non paper on various measures to strengthen the principle of proportionality in the November 2016 legislative proposal for the review of CRR and CRD
WK 7923 2017 INIT	07/07/2017	Infrastructure Financing - Article 501a CRR
WK 7970 2017 INIT	10/07/2017	MREL Pillar 1 requirement (TLAC): Selected items related to the TLAC implementation into EU
WK 7992 2017 INIT	10/07/2017	CRR/CRD review: EBA Opinion on Own Funds and others
WK 7998 2017 INIT	10/07/2017	MREL Pillar 2 requirement calibration and breaches of MREL requirement
WK 8003 2017 INIT	10/07/2017	Moratorium framework in the Union
WK 8019 2017 INIT	11/07/2017	Proportionality in CRR and CRD proposals
WK 8117 2017 INIT	12/07/2017	WP Meeting on Financial Services - Annotated Agenda for the 14 July Meeting on RRM (Capital)
WK 8147 2017 INIT	13/07/2017	Note on Proportionality –AT proposal (previously circulated to the WP meeting of 15/16 Feb)
WK 8245 2017 INIT	14/07/2017	Financial Services Estonian Presidency of the Council of the European Union - General presentation
WK 86 2018 INIT	09/01/2018	Provisional Agenda (15 January 2018)
WK 86 2018 REV 1	12/01/2018	Final Agenda
WK 8672 2018 INIT	12/07/2018	Draft Agenda (18 July 2018)
WK 8708 2018 INIT	13/07/2018	Non-Paper Art. 429b(5)(a) of the CRR
WK 8780 2017 INIT	28/08/2017	Large exposures - Presidency paper
WK 8789 2017 INIT	28/08/2017	NET STABLE FUNDING RATIO (NSFR): OUTSTANDING ISSUES AND TECHNICAL AMENDMENTS TO THE CRR PROPOSAL
WK 88 2018 INIT	09/01/2018	Presidency non-paper on article 18 CRR (Prudential consolidation)
WK 8833 2017 INIT	30/08/2017	Preliminary agenda (7 and 8 September 2017)

WK 8833 2017 REV 1	06/09/2017	Final agenda (7 and 8 September 2017)
WK 8834 2017 INIT	30/08/2017	Own Funds
WK 8834 2017 REV 1	05/09/2017	(REVISED) Own Funds
WK 89 2018 INIT	09/01/2018	Presidency non paper on leverage ratio
WK 8931 2017 INIT	01/09/2017	Proportionality: Disclosure, Reporting and Remuneration
WK 8932 2017 INIT	01/09/2017	Commission Services Non-paper on the EU IPU requirement
WK 8999 2017 INIT	04/09/2017	Market Risk
WK 9014 2017 INIT	05/09/2017	Pillar 2, targeted revisions of the macroprudential framework
WK 9045 2017 INIT	05/09/2017	Leverage ratio
WK 9068 2017 INIT	06/09/2017	EXPOSURES TO CCPs (CRR-related Articles)
WK 9095 2017 INIT	06/09/2017	SIMPLIFIED NET STABLE FUNDING RATIO (S-NSFR)
WK 9709 2018 INIT	27/08/2018	Working Party Meeting of 3 Sept - Draft Agenda
WK 9815 2017 INIT	19/09/2017	Danish non-paper on the revised market risk in the CRR2
WK 9979 2017 INIT	21/09/2017	Draft Agenda
WK 9979 2017 REV 1	25/09/2017	Updated Draft Agenda
WK 9979 2017 REV 2	27/09/2017	Proposal for a DIRECTIVE OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Directive 2013/36/EU as regards exempted entities, financial holding companies, mixed financial holding companies, remuneration, supervisory measures and powers and capital conservation measures - Presidency compromise
WK 5850 2017 INIT		Presidency Progress Report
WK 11411 2017 INIT	13/10/2017	Proportionality – Independent assessment of a simplified NSFR

WK 1524 2017 INIT	09/02/2017	Presidency Presentation IAS 9 versus IFRS 9
WK 1524 2017 REV 1	09/02/2017	IAS 39 versus IFRS 9 Background
WK 1588 2017 INIT	13/02/2017	IFRS 9 Transitional Arrangements For Bank Capital * The case for taking a dynamic approach *
WK 1660 2017 INIT	14/02/2017	EBA Presentation
WK 1660 2017 REV 1	17/02/2017	UPDATED EBA Presentation
WK 4673 2017 INIT	24/04/2017	IFRS 9 TRANSITION: PROPOSAL FOR COMPROMISE (UK Non-paper)
WK 5062 2017 INIT	03/05/2017	IFRS 9 & Large Exposures Transitionals: Draft Regulation (Presidency Compromise)
WK 5131 2017 INIT	04/05/2017	Agenda for the Working Party on Financial Services (RRM) - 4 May 2017 (afternoon)
WK 8061 2017 INIT	12/07/2017	Considerations on the Moratorium tool - Presentation by the Single Resolution Board
WK 8161 2017 INIT	13/07/2017	Update on EBA Final Report on the Second QIS on IFRS 9 (ppt)
WK 1200 2017 INIT	02/02/2017	Subordination
WK 10290 2017 INIT	26/09/2017	Pillar 2 Requirements: proposed amendments to selected items related to the macro-prudential framework in EU
WK 1579 2017 INIT	10/02/2017	"The concept of subordination"
WK 1160 2017 REV 1	03/02/2017	UPDATED Agenda for the 6/7 February 2017 RRM Meeting (Attachés + Experts)
WK 1160 2017 INIT	01/02/2017	Agenda for the 6/7 February 2017 RRM Meeting (Attachés + Experts)
WK 7973 2017 REV 1	11/07/2017	Agenda for 13 July 2017 Working Party Financial Services (RRM - Resolution)
WK 7973 2017 INIT	10/07/2017	Agenda for 13 July 2017 Working Party Financial Services (RRM - Resolution)
WK 6316 2018 INIT	25/05/2018	PRESIDENCY COMPROMISED PROPOSAL BG PRES revised proposal for a consolidated compromise text on recognition and supervision of third-country CCPs