

Summary table of jurisdictional responses

Germany Second update to Level 1 assessment report – June 2015

| | Principles/ Responsibilities | FMI Type | Rating | Status description / Next steps | Links to the measures | |
|---------|---|---------------|-----------------------|---|--|--|
| Germany | Principles | CCPs | (4, see EU) | | | |
| | | PSs | (4, see EU/Euro area) | | | |
| | | CSDs and SSSs | (4, see EU/Euro area) | | | |
| | | TRs | (4, see EU) | | | |
| | Responsibilities | CCPs | 4 | Bundesanstalt für Finanzdienstleistungsaufsicht (Bafin) and Deutsche Bundesbank (Buba) have a legal capacity to implement the Responsibilities. | Bafin – Banking Act, § 6, § 25a, § 7, 7a 7b,7c http://www.gesetze-im-internet.de/kredwlg/index.html Buba – Bundesbank Act, Art 3 http://www.bundesbank.de/Redaktion/EN/Downloads/Bundesbank/Tasks_and_organisation/bundesbank_act.pdf?__blob=publicationFile | |
| | | PSs | (4, see EU/Euro area) | | | |
| | | CSDs and SSSs | 4 | Bafin and Buba have a legal capacity to implement the Responsibilities. | Bafin – Banking Act, § 6, § 25a, § 7, 7a 7b,7c [see above for link] Buba – Bundesbank Act, art 3 [see above for link] | |
| | | TRs | (NA, see EU) | | | |
| | Comments: German authorities already use in practice the PFMI as their oversight and supervisory framework for SSS/CSDs in advance of the adoption of the draft EU regulation. | | | | | |

Germany First update to Level 1 assessment report – May 2014

| | Principles/ Responsibilities | FMI Type | Rating | Status description / Next steps | Links to the measures |
|---|---------------------------------|---------------|-----------------------|---|--|
| Germany | Principles | CCPs | (4, see EU) | | |
| | | PSs | (4, see EU/Euro area) | | |
| | | CSDs and SSSs | (2, see EU) | | |
| | | TRs | (4, see EU) | | |
| | Responsibilities | CCPs | 4 | Bundesanstalt für Finanzdienstleistungsaufsicht (Bafin) and Deutsche Bundesbank (Buba) have a legal capacity to implement the Responsibilities. | Bafin – Banking Act, § 6, § 25a, § 7, 7a 7b,7c http://www.gesetze-im-internet.de/kredwg/index.html Buba – Bundesbank Act, Art 3 http://www.bundesbank.de/Redaktion/EN/Downloads/Bundesbank/Tasks_and_organisation/bundesbank_act.pdf?__blob=publicationFile |
| | | PSs | (4, see EU/Euro area) | | |
| | | CSDs and SSSs | 4 | Bafin and Buba have a legal capacity to implement the Responsibilities. | Bafin – Banking Act, § 6, § 25a, § 7, 7a 7b,7c [see above for link] Buba – Bundesbank Act, art 3 [see above for link] |
| | | TRs | (NA, see EU) | | |
| Comments: German authorities already use in practice the PFMI as their oversight and supervisory framework for SSS/CSDs in advance of the adoption of the draft EU regulation. | | | | | |

Germany Level 1 assessment report – August 2013

| | Principles/ Responsibilities | FMI Type | Rating | Status description / Next steps | Links to the measures |
|--|---------------------------------|---------------|-----------------------|---|---|
| Germany | Principles | CCPs | (4, see EU) | | |
| | | PSs | (1, see EU/Euro area) | | |
| | | CSDs and SSSs | (2, see EU) | | |
| | | TRs | (4, see EU) | | |
| | Responsibilities | CCPs | 4 | Bundesanstalt für Finanzdienstleistungsaufsicht (Bafin) and Deutsche Bundesbank (Buba) have a legal capacity to implement the Responsibilities. | Bafin - Banking Act, § 6, § 25a, § 7, 7a 7b, 7c http://www.gesetze-im-internet.de/kredwlg/index.html Buba - Bundesbank Act, Art 3 http://www.bundesbank.de/Redaktion/EN/Downloads/Bundesbank/Tasks_and_organisation/bundesbank_act.pdf?__blob=publicationFile |
| | | PSs | (4, see EU/Euro area) | | |
| | | CSDs and SSSs | 4 | Bafin and Buba have a legal capacity to implement the Responsibilities. | Bafin - Banking Act, § 6, § 25a, § 7, 7a 7b, 7c [see above for link] Buba - Bundesbank Act, art 3 [see above for link] |
| | | TRs | (NA, see EU) | | |
| Comments: German authorities already use in practice the PFMI as their oversight and supervisory framework for SSS/CSDs in advance of the adoption of the draft EU regulation. | | | | | |