Annex IV

S.01.02 - Basic information

General comments:

This Annex contains additional instructions in relation to the templates included in Annex III of this Guideline. The first column of the next table identifies the items to be reported by identifying the columns and lines as showed in the template in Annex III.

This annex relates to quarterly and annual submission of information for third countries branches.

	ITEM	INSTRUCTIONS
C0010/R0010	Name of Third Country Undertaking	Legal name of the Third Country Undertaking. Needs to be consistent over different submissions.
C0010/R0020	Country of Third Country Undertaking	Identify the ISO 3166 code of the country where the third country undertaking was authorised
C0010/R0030	Name of Third Country branch	Legal name of the Third Country branch. Needs to be consistent over different submissions.
C0010/R0040	Country of Third Country branch	Identify the ISO 3166 code of the country where the third country branch was authorised
C0010/R0050	Identification code of the third country branch	Identification code of the branch, using the Legal Entity Identifier (LEI).
C0010/R0070	Language of reporting	Identify the 2-letter code of ISO 639-1 code of the language used in the submission of information
C0010/R0080	Reporting submission date	Identify the ISO 8601 (yyyy-mm-dd) code of the date when the report to the supervisory authority is made
C0010/R0081	Financial year end	Identify the ISO 8601 (yyyy–mm–dd) code of the financial year end of the undertaking, e.g. 2017-12-31
C0010/R0090	Reporting reference date	Identify the ISO 8601 (yyyy-mm-dd) code of the date identifying the last day of the reporting period
C0010/R0100	Regular/Ad-hoc submission	Identify if the submission of information relates to regular submission of information or ad-hoc. The following closed list of options shall be used: 1 - Regular reporting 2 - Ad-hoc reporting 3 – Re-submission of S.30 templates according to the Instructions 4 – Empty submissions
C0010/R0110	Currency used for reporting	Identify the ISO 4217 alphabetic code of the currency of the monetary amounts used in each report
C0010/R0120	Accounting standards	Identification of the accounting standards used for reporting items in S.02.01, financial statements valuation. The following closed list of options shall be used: 1 - The undertaking is using IFRS 2 - The undertaking is using local GAAP (other than IFRS)

C0010/R0130	Method of Calculation of the SCR	Identify the method used to calculate the SCR. The following closed list of options shall be used: 1 – Standard formula 2 - Partial internal model 3 - Full internal model
C0010/R0140	Use of undertaking specific parameters	Identify if the branch is reporting figures using undertaking specific parameters. The following closed list of options shall be used: 1 - Use of undertaking specific parameters 2 - Don't use undertaking specific parameters
C0010/R0150	Ring-Fenced Funds	Identify if the branch is reporting activity by Ring Fenced Funds (RFF). The following closed list of options shall be used: 1 - Reporting activity by RFF 2 - Not reporting activity by RFF
C0010/R0170	Matching adjustment	Identify if the branch is reporting figures using the matching adjustment. The following closed list of options shall be used: 1- Use of matching adjustment 2 - No use of matching adjustment
C0010/R0180	Volatility adjustment	Identify if the branch is reporting figures using the volatility adjustment. The following closed list of options shall be used: 1- Use of volatility adjustment 2 - No use of volatility adjustment
C0010/R0190	Transitional measure on the risk-free interest rate	Identify if the branch is reporting figures using the transitional measure on the risk-free interest rate. The following closed list of options shall be used: 1 - Use of transitional measure on the risk-free interest rate 2 - No use of transitional measure on the risk-free interest rate
C0010/R0200	Transitional measure on technical provisions	Identify if the branch is reporting figures using the transitional measure on technical provisions. The following closed list of options shall be used: 1 - Use of transitional measure on technical provisions 2 - No use of transitional measure on technical provisions
C0010/R0210	Initial submission or re-submission	Identify if it is an initial submission of information or a re-submission of information in relation to a reporting reference date already reported. The following closed list of options shall be used: 1 – Initial submission 2 Re-submission 3– Re-submission of S.30 templates in accordance with instructions of the template 4– Empty submission
C0010/R0220	Type of branch	Identify the type of insurance business taken by the reporting third-country undertaking through an EU branch. The following closed list of options shall be used to identify the activity of the branch: 2 - Life branch 3 - Non-Life branch 4- Branches pursuing both life and non-life insurance activity – article 73(2) 5- Branches pursuing both life and non-life insurance activity – article 73 (5)

C0020/R0230	Article 167	Identify if article 167 is applicable. The following closed list of options shall be used: 1 – Article 167 is applied 2 – Article 167 is not applied
C0010/R0270	Captive Business	Identify if the undertaking performs a captive business in line with the definition in Article 13 of Directive 2009/138/EC. 1 – Captive business 2 – No captive business
C0010/R0280	Run-Off Business	This item does not apply to the undertakings whose licence has been withdrawn. One of the options in the following closed list shall be used: 1 – Undertakings running-off a portfolio of contracts but not their whole business (partial run-off undertaking or undertaking with run-off portfolio); 2 – Undertakings running-off their whole (previous) business (full run-off undertaking); 3 – Undertakings with a run-off business model (specialised run-off undertakings) - insurance undertakings or groups whose business model is to actively acquire legacy portfolios or whole insurers in run-off; 4 – No run-off business.
C0030	Name of the branch included in article 167	Legal name of the Third Country branch covered by article 167
C0040/R0240	Country of the branch included in article 167	Identify the ISO 3166 code of the countries of each third country branch covered by article 167