

ANNEX I

RULES AND GUIDANCE	
List of templates	
PART 1	Transposition of Directive (EU) 2019/2034
PART 2	Model approval
PART 3	Specific disclosure requirements applied to investment firms
PART 4	Regulatory reporting

PART 1					
Transposition of Directive (EU) 2019/2034					
	Transposition of provisions of Directive (EU) 2019/2034	Provisions of Directive (EU) 2019/2034	Links to national text ⁽¹⁾	Reference(s) to national provisions ⁽²⁾	Available in EN (Y/N)
010	Date of the last update of information in these templates		(31/12/2024)		
020	I. Subject matter, scope and definitions	Articles 1 to 3	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art. 1; Bank of Italy Regulation on IF Supervision of 23 December 2022: Introduction Part, Title I, Chapters 1 and 2	The CLF is available in English on the Consob website
030	II. Competent authorities	Articles 4 to 8	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf ; Law 262/2005: https://www.normattiva.it/uri-res/N2Ls?urn:nir:stato:legge:2005-12-28;262	CLF: art. 2, 4, 7-decies, 7-undecies, 7-duodecies, 12-bis; Bank of Italy Regulation on IF Supervision of 23 december 2022: Introduction Part, Title I, Chapter 2; Law 262/2005 : art. 20	The CLF is available in English on the Consob website
040	III Initial capital	Articles 9 to 11	Consolidated Law on Finance (CLF): https://www.consob.it/web/consob-and-its-activities/laws-and-regulations/documenti/english/laws/fr_decree58_1998.htm?hkeywords=&docid=0&page=0&hits=19&n av=false ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art 19; Bank of Italy Regulation on IF Supervision of 23 december 2022: Part I, Title I, Chapter 1, Section II	The CLF is available in English on the Consob website
050	IV. Prudential supervision				
060	CHAPTER 1 - Principles of prudential supervision				
070	Section 1 - Competences and duties of home and host Member States	Articles 12 to 14	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953	CLF: art. 4	The CLF is available in English on the Consob website

080	Section 2 - Professional secrecy and duty to report	Articles 15 to 17	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Consolidated Law on Banking (CLB): https://www.bancaditalia.it/compiti/vigilanza/intermediari/Testo-Unico-Bancario.pdf	CLF: art. 4, 8; CLB: art. 7	The CLF is available in English on the Consob website
090	Section 3 - Sanctions, investigatory powers and right of appeal	Articles 18 to 23	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953	CLF: art. 4-undecies, 6-bis, 6-ter, 187-septies, 194-ter, 194-ter.1, 194-quater, 194-septies, 195-bis, 195-ter .	The CLF is available in English on the Consob website
100	CHAPTER 2 - Review process				
110	Section 1 - Internal capital adequacy assessment process and internal risk	Article 24	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art. 6; Bank of Italy Regulation on IF Supervision of 23 december 2022: Part I, Title II, Chapter 1	The CLF is available in English on the Consob website
120	Section 2 - Internal governance, transparency, treatment of risks and remuneration	Articles 25 to 35	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation 5.12.2019: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20191205/Regolamento-BI-TUF-testo-integrale.pdf ; 1°update of Bank of Italy Regulation 5.12.2019, 23 December 2022 https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20191205/Atto-emanazione-Reg.BI-TUF.pdf ; Bank of Italy's 1 December communication on remuneration data collection https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/comunicazioni/com-remunerazione-sim/Raccolta_dati-Comunicazione_al_sistema.pdf	CLF: art. 6; Bank of Italy Regulation 5.12.2019: Parts 1 and 2 and Annex 5	The CLF is available in English on the Consob website

130	Section 3 - Supervisory review and evaluation process	Articles 36 to 37	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art 6; Bank of Italy Regulation on IF Supervision of 23 December 2022: Part I, Title II, Chapter 1, Section III	The CLF is available in English on the Consob website
140	Section 4 - Supervisory measures and powers	Articles 38 to 45	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art. 4, 6, 7; Bank of Italy Regulation on IF Supervision of 23 December 2022: Parte I, Title III, Chapters 2,3 and 4.	The CLF is available in English on the Consob website
150	CHAPTER 3 - Supervision of investment firm groups				
160	Section 1 - Supervision of investment firm groups on a consolidated basis and supervision of compliance with the group capital test	Articles 46 to 50	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art. 4, 11, 12, 12a - Bank of Italy Regulation on IF Supervision of 23 december 2022: Parte I, Title I, Chapter 2.	The CLF is available in English on the Consob website
170	Section 2 - Investment holding companies, mixed financial holding companies and mixed-activity holding companies	Articles 51 to 56	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Bank of Italy Regulation on IF supervision of 23 December 2022: https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/regolamenti/20221223/Regolamento-SIM.pdf	CLF: art. 4, 12, 12a, 190, 194c-1 - Bank of Italy Regulation on IF Supervision of 23 december 2022: Part I, Title I, Chapter 2	The CLF is available in English on the Consob website
180	TITLE V - PUBLICATION BY COMPETENT AUTHORITIES	Article 57	Consolidated Law on Banking (CLB): https://www.bancaditalia.it/compiti/vigilanza/intermediari/Testo-Unico-Bancario.pdf	Art. 8	N
190	TITLE VI - DELEGATED ACTS	Article 58	NA		

200	TITLE VII - AMENDMENTS TO OTHER DIRECTIVES	Articles 59 to 64	Consolidated Law on Finance (CLF): https://www.consob.it/documents/718268/6018868/fr_decree58_1998.pdf/2b150ede-5a02-e7c2-cccf-eda0f8cfe232?t=1740652027953 ; Consolidated Law on Banking (CLB): https://www.bancaditalia.it/compti/vigilanza/intermediari/Testo-Unico-Bancario.pdf ; Legislative Decree n. 201/2021: http://www.normattiva.it/uri-res/N2Ls?urn:nir:stato:decreto.legislativo:2021-11-05;2011vig=2022-06-07	CLF: artt. 6 (1-a), 11a, 20a-1 (1 - 2), 55a, 60a-3, 190 (2f); CLB: art. 69.3; Legislative Decree n. 201/2021: art. 3 (3 - 5)	The CLF is available in English on the Consob website
210	TITLE VIII - FINAL PROVISIONS	Articles 65 to 69	NA		

(1) Hyperlink(s) to the website containing the national text transposing the provision of Union law in question.

(2) Detailed references to the provision of national law, such as relevant Title, Chapter, paragraph etc.

PART 2
Model approval¹

010	Date of the last update of information in this template	<i>(31/12/2024)</i>
		Description of the approach
020	Supervisory approach for the approval of the use of alternative Internal Model Approach (IMA) to calculate minimum capital requirements for market risk	
030	Minimum documentation to be provided by the investment firm applying for the use of alternative IMA	<i>[free text]</i>
040	Description of the assessment process conducted by the competent authority (use of self-assessment, reliance on external auditors and on-site-inspections) and main criteria of the assessment	<i>[free text]</i>
050	Form of the decisions taken by the competent authority and communication of the decisions to applicants	<i>[free text]</i>

(1) Applicable from 26 June 2026 or the date of application to credit institutions of the requirements as stated in Article 57(1) of Regulation (EU) 2019/2033.

PART 3				
Specific disclosure requirements applied to investment firms				
	Directive (EU) 2019/2034	Provision	Information to be provided by the competent authority	
010	Date of the last update of information in this template			(31/12/2024)
020	Article 44(a)	Competent authorities have the power to require investment firms that do not meet the conditions for qualifying as small and non-interconnected investment firms set out in Article 12(1) of Regulation (EU) 2019/2033 and investment firms referred to in Article 46(2) of Regulation (EU) 2019/2033 to publish the information referred to in Article 46 of that regulation more than once a year and to set deadlines for that publication;	NA	The power pursuant to Article 44(a) is granted to the Bank of Italy under Article 6(1)(a) and 7(1) of the CLF. This power has not been exercised.
030	Article 44(b)	Competent authorities may require investment firms that do not meet the conditions for qualifying as small and non-interconnected investment firms set out in Article 12(1) of Regulation (EU) 2019/2033 and investment firms referred to in Article 46(2) of Regulation (EU) 2019/2033 to use specific media and locations, in particular the investment firms' websites, for publications other than the financial statements;	NA	The power pursuant to Article 44(b) is granted to the Bank of Italy under Article 6(1)(a) and 7(1) of the CLF. This power has not been exercised.
040	Article 44(c)	Competent authorities may require parent undertakings to publish annually, either in full or by way of references to equivalent information, a description of their legal structure and governance and organisational structure of the investment firm group in accordance with Article 26(1) of this Directive and with Article 10 of Directive 2014/65/EU.	NA	The power pursuant to Article 44(c) is granted to the Bank of Italy under Article 6(1)(a) and 7(1) of the CLF. This power has not been exercised.

PART 4 Regulatory reporting		
010	Date of the last update of information in this template	(31/12/2024)
020	Implementation of the reporting on financial information in accordance with Commission Implementing Regulation XXX/2021	
030	Are XBRL standards used for submitting the reporting to the competent authority?	Yes