



Brussels, 1 October 2014
(OR. en)

Interinstitutional File:
2011/0361 (COD)

13787/14
ADD 1

EF 245
ECOFIN 866
DELECT 182

COVER NOTE

From:	Secretary-General of the European Commission, signed by Mr Jordi AYET PUIGARNAU, Director
date of receipt:	30 September 2014
To:	Mr Uwe CORSEPIUS, Secretary-General of the Council of the European Union
No. Cion doc.:	C(2014) 6871 final ANNEXES 1 to 3
Subject:	ANNEXES to the COMMISSION DELEGATED REGULATION (EU) No .../.. supplementing Regulation (EC) No 1060/2009 of the European Parliament and of the Council with regard to regulatory technical standards for the periodic reporting on fees charged by credit rating agencies for the purpose of on-going supervision by the European Securities and Markets Authority

Delegations will find attached document C(2014) 6871 final ANNEXES 1 to 3.

Encl.: C(2014) 6871 final ANNEXES 1 to 3



EUROPEAN
COMMISSION

Brussels, 30.9.2014
C(2014) 6871 final

ANNEXES 1 to 3

ANNEXES

to the

COMMISSION DELEGATED REGULATION (EU) No .../..

supplementing Regulation (EC) No 1060/2009 of the European Parliament and of the Council with regard to regulatory technical standards for the periodic reporting on fees charged by credit rating agencies for the purpose of on-going supervision by the European Securities and Markets Authority

Annex I

Table 1: Reporting of pricing policies per rating class in force and subsequent material updates

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory	
2	CRA scope	Identification of the CRAs applying the pricing policy	Mandatory	ISO 17442
3	Pricing policy identifier	Unique identifier of the pricing policy that shall be maintained. All changes other than the scope of the rating types covered by the pricing policy should maintain the same unique identifier. Changes in the scope require a new pricing policy identifier.	Mandatory	Pricing policy identifier in format "PP_[internal pricing policy identifier] "
4	Pricing Policy validity date	The date from which the pricing policy is valid.	Mandatory	ISO 8601 Date Format (YYYY-MM-DD)
5	Pricing Policy end date	The end validity date of the pricing policy.	Mandatory	ISO 8601 Date Format (YYYY-MM-DD) or or 9999-01-01
6	Indication of model	Indication of whether the pricing policy relates to issuer pays ratings or investor-pays or subscriber pays model. ESMA understands that CRAs may operate services under more than one model and therefore it is possible that a pricing policy may be used for both types of models. In such cases I and S may both be chosen.	Mandatory	<ul style="list-style-type: none"> - 'I' for issuer-pays model, and/ or - 'S' for investor-pays or subscriber pays model
7	Scope of the pricing policy	Description of the type of ratings or ancillary services included or covered by the pricing policy.	Mandatory	<p>Indication whether the pricing policy applies to one or more of:</p> <ul style="list-style-type: none"> - 'All' - 'C' for corporate ratings (excluding covered bonds);

No.	Field name	Description	Type	Standard
				<ul style="list-style-type: none"> - 'S' for sovereign and public finance ratings; - 'T' for structured finance ratings - 'B' for covered bond ratings - 'O' other types of ratings - 'A' for ancillary services
8	Industry segment of the pricing policy	When reporting corporate ratings indication whether the pricing policy applies to ratings within one of these industry segments: (i) financial, (ii) insurance, (iii) other corporates.	Mandatory Applicable only if 'C' in field 7 'Scope of the pricing policy'	Indication whether the pricing policy applies to one or more of: <ul style="list-style-type: none"> - 'All' - FI - for Financial institutions including banks, brokers and dealers, - IN - for Insurance rating type, - CO - for Corporate issuers that do not belong to FI or IN classes.
9	Asset class of the pricing policy	When reporting structured finance ratings indication whether the pricing policy applies to ratings within one of these segments: (i) RMBS, (ii) ABS, (iii) CMBS, (iv) CDO, (v)ABCP, (vi) other.	Mandatory Applicable only if 'T' in field 7 'Scope of the pricing policy'	Indication whether the pricing policy applies to one or more of: <ul style="list-style-type: none"> - 'All' - 'RMBS' for RMBS ratings; - 'ABS' for ABS ratings; - 'CMBS' for CMBS ratings, - 'CDO' for CDO ratings - 'ABCP' for ABCP ratings - 'OTH' other

No.	Field name	Description	Type	Standard
10	Sector	When reporting sovereign and public finance ratings indication whether the pricing policy applies to ratings within one of these segments: (i) State rating, (ii) Regional or local-authority rating, (iii) Supranational organisations (other than international financial institutions), (iv) public entities, (v) International financial institutions.	Mandatory Applicable only if 'S' in field 7 'Scope of the pricing policy'	Indication whether the pricing policy applies to one or more of: – 'All' – 'SV' - State rating – 'SM' - Regional or local-authority rating – 'SO' - Supranational organisations rating other than 'IF' – 'PE' - Public entities rating – 'IF' - International financial institutions
11	Previous pricing policy	The identification of the prior pricing policy which the current policy replaces.	Mandatory Applicable if the current pricing policy changes the scope of application of a previous pricing policy	Pricing policy identifier in format "PP_[internal pricing policy identifier]"
12	Pricing policy file name	Pricing policy file name. Shall be reported in a zip format	Mandatory	

Table 2: Reporting of fee schedules per rating class in force and subsequent material updates

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory	

2	CRA scope	Identification of the CRAs applying the fee schedule.	Mandatory	ISO 17442
3	Fee schedule identifier	Unique identifier of the fee schedule that shall be maintained over time. All changes other than the scope of the rating types covered by the fee schedule should maintain the same unique identifier. Changes in the scope require a new fee schedule identifier.	Mandatory	Fee schedule identifier in format "FS_[internal fee schedule identifier] "
4	Pricing policy identifier	Identification of the pricing policy which the fee schedule is meant to implement. This pricing policy identifier must correspond to the identifier(s) set out under Table 1 of Annex I.	Mandatory	Pricing policy identifier in format "PP_[internal pricing policy identifier] "
5	Fee schedule validity date	The date from which the fee schedule is valid.	Mandatory	ISO 8601 Date Format (YYYY-MM-DD)
6	Fee schedule end date	The end validity date of the fee schedule.	Mandatory	ISO 8601 Date Format (YYYY-MM-DD) or or 9999-01-01
7	Indication of model	Indication of whether fee schedule relates to issuer pays ratings or investor pays model.	Mandatory	<ul style="list-style-type: none"> - 'I' for issuer-pays model - 'S' for investor-pays or subscriber pays model
8	Rating type scope of the fee schedule	Description of the type of ratings or ancillary services included in the fee schedule.	Mandatory	<p>Indication whether the fee schedule applies to one or more of:</p> <ul style="list-style-type: none"> - All- - 'C' for corporate ratings (excluding covered bonds); - 'S' for sovereign and public finance ratings; - 'T' for structured finance ratings - 'B' for covered bond ratings

No.	Field name	Description	Type	Standard
				<ul style="list-style-type: none"> - 'O' other types of ratings - 'A' for ancillary services
9	Industry segment of the fee schedule	When reporting corporate ratings indication whether the fee schedule applies to ratings within one of these industry segments: (i) financial, (ii) insurance, (iii) other corporates.	Mandatory. Applicable only if 'C' in field 8 'Rating type scope of the fee schedule'	Indication whether the fee schedule applies to one or more of: <ul style="list-style-type: none"> - 'All' - 'FI' - for Financial institutions including banks, brokers and dealers, - 'IN' - for Insurance rating type, - 'CO' - for Corporate issuers that do not belong to FI or IN classes.
10	Asset class of the fee schedule	When reporting structured finance ratings indication whether the fee schedule applies to ratings within one of these segments: (i) RMBS, (ii) ABS, (iii) CMBS, (iv) CDO, (v) ABCP, (vi) other.	Mandatory. Applicable only if 'T' in field 8 'Rating type scope of the fee schedules'	Indication whether the fee schedule applies to one or more of: <ul style="list-style-type: none"> - 'All' - 'RMBS' for RMBS ratings; - 'ABS' for ABS ratings; - 'CMBS' for CMBS ratings, - 'CDO' for CDO ratings - 'ABCP' for ABCP ratings - 'OTH' other
11	Sector of the fee schedule	When reporting sovereign and public finance ratings indication whether the fee schedule applies to ratings within one of these segments: (i) State rating, (ii) Regional or local-authority rating, (iii) supranational organisations (other than international financial	Mandatory. Applicable only if 'S' in field 8 'Rating type scope of the fee schedules'	Indication whether the fee schedule applies to one or more of: <ul style="list-style-type: none"> - 'All' - SV - State rating - SM - Regional or local-

No.	Field name	Description	Type	Standard
		institutions), (iv) public entities, (v) International financial institutions.		authority rating SO - Supranational organisations rating other than 'IF' PE - Public entities rating. IF - International financial institutions
12	Sub-asset of the fee schedule	Defines the sub-asset classes for structured finance ratings.	Mandatory. Applicable only if 'T' in field 8 and 'Asset class' = 'ABS' or 'RMBS' or 'CDO' or 'OTH'.	Indication whether the fee schedule applies to one or more of: <ul style="list-style-type: none"> - 'All' - CCS - If ABS: Credit card receivable backed securities - ALB - If ABS: Auto loan backed securities - CNS - If ABS: Consumer loan backed security - SME - If ABS: Small and medium sized enterprises loan backed securities - LES - If ABS: Leases to individual or business backed security - HEL - If RMBS: Home equity loans - PRR - If RMBS: Prime RMBS, - NPR - If RMBS: Non-prime RMBS - CFH - If CDO: Cash flow and hybrid CDOs/CLOs - SDO - If CDO: Synthetic CDOs/CLOs - MVO - If CDO: Market value CDOs - SIV - If OTH: structured investment vehicles - ILS - If OTH: insurance-linked securities - DPC - If OTH: derivative

No.	Field name	Description	Type	Standard
				product companies -SCB - If OTH: structured covered bonds - OTH - Other
13	Previous Fee schedule	The identification of the prior fee schedule which the current fee schedule replaces.	Applicable if the current fee schedule changes the scope of application of a previous fee schedule	Fee schedule identifier in format "FS_[internal fee schedule identifier]"
14	Fee schedule file name	Fee schedule file name. Shall be reported in a zip format	Mandatory	

Table 3: Reporting of fee programmes per rating class in force and subsequent material updates

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory	
2	CRA scope	Identification of the CRAs applying the fee programme.	Mandatory	ISO 17442
3	Fee programme identifier	Unique identifier of the fee programme that shall be maintained over time. All changes other than the scope of the rating types or type of programme covered by the fee programme should maintain the same unique identifier. Changes in the scope require a new fee programme identifier.	Mandatory	Fee programme identifier in format "FP_[internal fee programme identifier]"
4	Pricing policy identifier	Identification of the pricing policy which the fee programme is meant to implement. This pricing policy identifier must correspond to the identifier(s) set out under Table 1 of Annex I.	Mandatory	Pricing policy identifier in format "PP_[internal pricing policy identifier]"

No.	Field name	Description	Type	Standard
5	Fee programme validity date	The date from which the fee programme is valid.	Mandatory	ISO 8601 Date Format (YYYY-MM-DD)
6	Fee programme end date	The end validity date of the fee programme.	Mandatory	- ISO 8601 Date Format (YYYY-MM-DD) or or 9999-01-01
7	Indication of model	Indication of whether fee programme relates to issuer-pays ratings or investor-pays or subscriber pays model.	Mandatory	- 'I' for issuer pays model, and /or - 'S' for investor-pays or subscriber pays model
8	Rating type scope of the fee programme	Description of the type of ratings or ancillary services included in the fee programme.	Mandatory	Indication whether the fee programme applies to one or more of: - 'All' - 'C' for corporate ratings (excluding covered bonds); - 'S' for sovereign and public finance ratings; - 'T' for structured finance ratings - 'B' for covered bond ratings - 'O' other types of ratings - 'A' for ancillary services
9	Industry segment of the fee programme	When reporting corporate ratings indication whether the fee programme applies to ratings within one of these industry segments: (i) financial, (ii) insurance, (iii) other corporates.	Mandatory Applicable only if 'C' in field 8 'Scope of the fee programme'	Indication whether the fee programme applies to one or more of: - 'All' - FI - for Financial institutions including banks, brokers and dealers,

No.	Field name	Description	Type	Standard
				<ul style="list-style-type: none"> - IN - for Insurance rating type, - CO - for Corporate issuers that do not belong to FI or IN classes.
10	Asset class of the fee programme	When reporting structured finance ratings indication whether the fee programme applies to ratings within one of these segments: (i) RMBS, (ii) ABS, (iii) CMBS, (iv) CDO, (v) ABCP, (vi) other.	<p>Mandatory</p> <p>Applicable only if 'T' in field 8 'Rating scope of the fee programme'</p>	<p>Indication whether the fee programme applies to one or more of:</p> <ul style="list-style-type: none"> - 'All' - 'RMBS' for RMBS ratings; - 'ABS' for ABS ratings; - 'CMBS' for CMBS ratings, - 'CDO' for CDO ratings - 'ABCP' for ABCP ratings - 'OTH' other
11	Sector of the fee programme	When reporting sovereign and public finance ratings indication whether the fee programme applies to ratings within one of these segments: (i) State rating, (ii) Regional or local-authority rating, (iii) supranational organisations (other than international financial institutions), (iv) public entities, (v) international financial institutions.	<p>Mandatory</p> <p>Applicable only if 'S' in field 8 'Rating type scope of the fee programme'</p>	<p>Indication whether the fee programme applies to one or more of:</p> <ul style="list-style-type: none"> - 'All' - SV - State rating - SM - Regional or local-authority rating - SO - Supranational organisations rating other than 'IF' - PE - Public entities rating. - IF - International financial institutions
12	Sub-asset of the fee programme	Defines the sub-asset classes for structured finance ratings.	<p>Mandatory.</p> <p>Applicable only if 'T' in field 8 and 'Asset class' = 'ABS' or 'RMBS' or 'CDO' or</p>	<p>Indication whether the fee programme applies to one or more of:</p> <ul style="list-style-type: none"> - 'All' - CCS - If ABS: Credit card

No.	Field name	Description	Type	Standard
			'OTH'.	receivable backed securities - ALB - If ABS: Auto loan backed securities - CNS - If ABS: Consumer loan backed security - SME - If ABS: Small and medium sized enterprises loan backed securities - LES - If ABS: Leases to individual or business backed security - HEL - If RMBS: Home equity loans - PRR - If RMBS: Prime RMBS - NPR - If RMBS: Non-prime RMBS - CFH - If CDO: Cash flow and hybrid CDOs/CLOs - SDO - If CDO: Synthetic CDOs/CLOs - MVO - If CDO: Market value CDOs - SIV - If OTH: structured investment vehicles - ILS - If OTH: insurance-linked securities - DPC - If OTH: derivative

No.	Field name	Description	Type	Standard
				product companies - SCB - If OTH: structured covered bonds - OTH - Other
13	Type of programme included	Description of the type of programme included in the fee programme, such as whether it relates to and/or includes a frequency of use programme, loyalty programme, multi-issuance programmes, purchase of a package of credit ratings or other types of programmes.		Indication whether the fee programme applies to one or more of: - 'All' - 'F' frequency of use; - 'L' loyalty programme; - 'M' multi-issuance programmes; - 'B' for package purchase of a pre-set number of credit ratings - 'OTH' other types of fee programme
14	Previous fee programme	The identification of the prior fee programme which the current fee programme replaces.	Mandatory Applicable if the current fee programme changes the scope of application of a previous fee programme.	Fee programme identifier in format "FP_[internal fee programme identifier]
15	Fee schedule(s)	Unique identification number of any fee schedule(s) applicable or linked to the fee programme. This fee schedule identifier must correspond to the identifier(s) set out under Table 2 of Annex I.	Mandatory if applicable	Fee schedule identifier in format "FS_[internal fee schedule identifier]
16	Fee programme file name	Fee programme policy file name. Shall be reported in a zip format	Mandatory	

Table 4: Reporting of pricing procedures in force and subsequent material updates

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory.	
2	CRA scope	Identification of the CRAs applying the pricing procedure.	Mandatory.	ISO 17442
3	Procedure identifier	Unique identifier of the pricing procedure that shall be maintained over time.	Mandatory.	
4	Pricing policy identifier	Identification of the pricing policy or policies which the pricing procedure is meant to implement. This pricing policy identifier must correspond to the identifier(s) set out under Table 2 of Annex I.	Mandatory.	Pricing policy identifier in format "PP_[internal pricing policy identifier]"
5	Fee schedule identifier	Identification of the schedule(s) which the pricing procedure is meant to implement. This fee schedule identifier must correspond to the identifier(s) set out under Table 2 of Annex I.	Mandatory. If applicable.	Fee schedule identifier in format "FS_[internal fee schedule identifier]"
6	Fee programme identifier	Identification of the fee programme(s) which the pricing procedure is meant to implement. This fee programme identifier must correspond to the identifier(s) set out under Table 3 of Annex I.	Mandatory. If applicable.	Fee programme identifier in format "FP_[internal fee programme identifier]"
7	Pricing procedure validity date	The date from which the pricing procedure is valid.	Mandatory.	ISO 8601 Date Format (YYYY-MM-DD)
8	Pricing procedure end date	End date of validity of the pricing procedure	Mandatory.	ISO 8601 Date Format (YYYY-MM-DD) or 9999-01-01
9	Pricing procedure file name	Pricing procedure file name. Shall be reported in a zip format	Mandatory.	

Annex II

Table 1: Data to be reported to ESMA for each individual credit rating assigned under the issuer-pays model

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory.	
2	Reporting year	The calendar year to which the reporting period refers.	Mandatory.	Format: YYYY
3	Rating identifier	Unique identifier of the rating. It shall be maintained unchanged over time and correspond to identifier reported under the COMMISSION DELEGATED Regulation (EU) No [.../2013] [to be inserted reference to ERP RTS]	Mandatory.	--
4	Contract rating start date	Date of the initial contract for the rating service. Typically would correspond to the date on which the fees for the credit rating service are set.	Mandatory.	ISO 8601 Extended Date Time Format: YYYY-MM-DD
5	Fee schedule used	<p>Unique identifier of the fee schedule under which the fees were set. This fee schedule identifier must correspond to the identifier(s) set out under Table 2 of Annex I. Where no fee schedule has been used to set the price, then the pricing policy identifier must be used. This pricing policy identifier must correspond to the identifier(s) set out under Table 1 of Annex I.</p> <p>If neither a pricing policy or fee schedule has been applied then 'N' should be used.</p>	Mandatory.	<p>Fee schedule in format "FS_[internal fee schedule identifier]" or pricing policy identifier in format "PP_[internal pricing policy identifier]"</p> <p>'N' Non-applied</p>
6	Person(s) responsible for pricing	Internal identifier assigned by the CRA to the person(s) responsible for setting the fees relating to the rating, either by applying the applicable fee schedule and/or fee programme or the person approving exceptions or discounts to the fee schedule and/or fee programme.	Mandatory.	The internal identifier of the person responsible
7	Client	Unique code assigned by the CRA to identify the Client. Typically	Mandatory.	

No.	Field name	Description	Type	Standard
	Identifier	this should correspond to the issuer of the instrument or entity, however in no cases shall it be an SPV. For Structured Finance instruments the unique code should identify the originator or other entity that from an economic point of view (e.g. arranger), directly or indirectly via an SPV or SIV, effectively negotiates the fees with the credit rating agency. This shall correspond to one Client Identifier identified in Table 2 of Annex II.		
8	Indication of whether the individual rating benefited from fee exemption or reduction	Certain credit ratings might not pay an individual direct fee / or might benefit from a reduction as the Client might have paid for a set of ratings, an annual (or other set period) nominal issuance amount, flat fee or be part of a “package” of ratings (“Group Fee”). This field identifies whether the individual rating is covered by such an arrangement with the Client.	Mandatory.	<ul style="list-style-type: none"> – ‘C’ – covered by Group Fee arrangement – ‘N’ not covered by Group Fee arrangement
9	Total amount of fees charged	Identifies the total amount of fees billed for the rating during the prior calendar reporting year. Where no fee was paid for the individual credit rating the amount should be 0 for all but one of the ratings benefitting from the Group Fee.	Mandatory.	Amount in euro
10	Amount of initial fees paid	Identifies the amount of up-front / initial fees billed during the prior calendar reporting year.	Mandatory.	Amount in euro
11	Surveillance fees paid	Identifies the annual surveillance/monitoring fees billed in prior calendar year.	Mandatory.	Amount in euro
12	Other fees charged for rating service	Identifies total of other fees or compensation billed in prior calendar year.	If applicable.	Amount in euro
13	Description of other fees	Indication of whether the fees billed included any consideration or fees for a rapid turnaround	Mandatory. Applicable	– ‘Y’ – where rapidity fee applied

No.	Field name	Description	Type	Standard
		request by the Client for the rating service.	if “Other fees charged” was filled in response to field “Other fees charged for rating service” (field 12).	– ‘N’ – where no rapidity fee applied
14	Negotiation links with other ratings	Identifies whether the rating fee negotiations was linked to other existing ratings of the Client and that led to variations in the final fees applied and paid for by the Client. This would include credit rating services provided in relation to vehicles set up to facilitate issuance, such as an MTN programme.	Mandatory.	– ‘Y’ for Yes – ‘N’ for No
15	Identification of the linked rating(s)	Unique identifier of the rating(s) linked to the rating being reported (e.g., in the case of structured finance a master trust structure and its series)	Mandatory. Applicable if ‘Y’ was filled in response to field 14.	– List of identifiers
16	Fee programme	Indication of whether the Client benefits in lower individual fees from a frequency or other fee programme.	Mandatory.	– ‘Y’ for Yes – ‘N’ for No
17	Identification of fee programme	Identification of the fee programme under which the rating is priced. Should identify the fee programme which must match with the identifier set out in the applicable fee programme set out under Table 3 of Annex I.	Mandatory if ‘Y’ was reported in field 16.	– Fee programme identifier in format “FP_[internal fee programme identifier]”

Table 2: Data to be provided to ESMA for fees received on a per client basis for rating services and ancillary services

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory.	

2	Client identifier	Unique code assigned by the CRA to identify the Client. Clients may be issuers, rated entities and/or originators, and/or include entities that from an economic point of view, directly or indirectly via an SPV or SIV, negotiates the fees with the credit rating agency in the context of credit rating arrangements. For clarification purposes it should be noted that in no instances shall a Client be an SPV or SIV. The Client shall retain the same unique identifier in all these cases.	Mandatory.	
3	Legal entities	List of legal entities that are included in the Client Identifier field.	Mandatory.	List of names of legal entities
4	Total overall fees billed	Total fees billed from the Client in the prior calendar year for issuer-pays rating services.	Mandatory.	Amount in euro
5	Client ratings	Identifies how many credit ratings the Client has with the credit rating agency at 31 st December of the prior calendar year.	Mandatory.	Number of ratings
6	Total fees for programmes	Total fees billed from the Client in the prior calendar year for rating services not derived from an individual rating but from a frequency issuance, relationship or other type of flat fee programme and excess issuance fees, which may cover one or more ratings.	Mandatory.	Amount in euro
7	Identification of ratings	Identification of ratings issued under or covered by fees programmes in the prior calendar year.	Mandatory.	List of ratings identifier
8	Fees received for ancillary services	Total fees billed by the CRA group of companies from the Client for ancillary services in the previous calendar year.	Mandatory.	Amount in euro
9	Main ancillary services	Identification of the three main services provided by the CRA group to the Client in the prior calendar year, in revenue terms.	Mandatory. If more than 0 answered to field 8 'fees received for	List of ancillary services

			ancillary services’.	
10	Ranking of ancillary services	Ranking of the ancillary services for the top three main services identified in field 9 ‘main ancillary services’, in revenue terms.	Mandatory. If more than 0 answered to field 8 ‘fees received for ancillary services’	Ranking of ancillary services
11	Other services	Indication of whether account was taken for the setting of fees for the credit rating services provided to the Client of any services provided by any entities belonging to the credit rating agency’s group within the meaning of Articles 1 and 2 of Directive 83/349/EEC as well as any entity linked to the credit rating agency or other company of the credit rating agency’s group by a relationship within the meaning of Article 12(1) of Directive 83/349/EEC.	Mandatory.	<ul style="list-style-type: none"> – ‘Y’ for Yes – ‘N’ for No

Annex III

Table 1: Data to be provided to ESMA for fees received for subscription or investor-pays based rating services

This is to be provided on a per client basis for:

- i) the top 100 Clients in revenue terms for this type of credit rating service,
- ii) as well as all other Clients who are subscribers or pay for ratings as an investor and are also rated by the credit rating agency group.

No.	Field name	Description	Type	Standard
1	CRA identifier	Code used to identify the reporting credit rating agency. It is provided by ESMA upon registration.	Mandatory	
2	Client identifier	Code used internally by the system to identify the client who is paying, being invoiced or otherwise negotiating rates with the credit rating agency to receive the credit rating service.	Mandatory	

3	Fees per client	Total fees billed from the Client for subscription based rating services provided in prior calendar year.	Mandatory	Amount in euro
4	Identification of pricing policy	Identification of the pricing policy under which the CRA charged its Client. The pricing policy identifier must match with the identifier set out in the applicable pricing policy set out under Table 1 of Annex I to this RTS.	Mandatory. If applicable	Pricing policy identifier in format "PP_[internal pricing policy identifier]"
5	Identification of fee schedule	Identification of the three main fee schedules under which the CRA charged its Client. The fee schedule identifier must match with the identifier set out in the applicable fee schedule part of the pricing policy set out under Table 3 of Annex I to this RTS.	Mandatory. If applicable	Fee schedule identifier in format "FS_[internal fee schedule identifier]"
6	Identification of fee programme	Identification of the three main fee programmes under which the CRA charged its Client. The fee programme identifier must match with the identifier set out in the applicable fee programme part of the pricing policy set out under Table 4 of Annex I to this RTS.	Mandatory. If applicable	Fee programme identifier in format "FP_[internal fee programme identifier]"
7	Issuer or rated entity	Indication of whether the Client is also an issuer, rated entity, or otherwise a Client under Table 2 of Annex II.	Mandatory.	- 'Y' for Yes - 'N' for No
8	Top client indication	Indication of whether the Client was one of top 100 subscription clients in revenue terms in the prior calendar year.	Mandatory.	- 'Y' for Yes - 'N' for No
9	Fees received for ancillary services	Total fees billed by the CRA group of companies from the client for ancillary services in the prior calendar year.	Mandatory	Amount in euro