



Brussels, 1.10.2021
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ANNEXES 1 to 7

ANNEXES

to the

Commission Implementing Decision (EU) .../...

on the equivalence of the supervisory and regulatory requirements of certain third countries and territories for the purposes of the treatment of exposures in accordance with Regulation (EU) No 575/2013 of the European Parliament and of the Council

ANNEX I

LIST OF THIRD COUNTRIES AND TERRITORIES REFERRED TO IN ARTICLE 1 (CREDIT INSTITUTIONS)

- (1) Argentina
- (2) Australia
- (3) Bosnia and Herzegovina
- (4) Brazil
- (5) Canada
- (6) China
- (7) Faroe Islands
- (8) Greenland
- (9) Guernsey
- (10) Hong Kong
- (11) India
- (12) Isle of Man
- (13) Japan
- (14) Jersey
- (15) Mexico
- (16) Monaco
- (17) New Zealand
- (18) North Macedonia
- (19) Saudi Arabia
- (20) Serbia
- (21) Singapore
- (22) South Africa
- (23) South Korea
- (24) Switzerland
- (25) Turkey
- (26) USA

ANNEX II

LIST OF THIRD COUNTRIES AND TERRITORIES REFERRED TO IN ARTICLE 2 (INVESTMENT FIRMS)

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Hong Kong
- (6) Indonesia
- (7) Japan (limited to Type I Financial Instruments Business Operators)
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

ANNEX III

LIST OF THIRD COUNTRIES REFERRED TO IN ARTICLE 3 (EXCHNAGES)

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) India
- (6) Indonesia
- (7) Japan
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

ANNEX IV

LIST OF THIRD COUNTRIES AND TERRITORIES REFERRED TO IN ARTICLE 4 (CREDIT INSTITUTIONS)

- (1) Argentina
- (2) Australia
- (3) Bosnia and Herzegovina
- (4) Brazil
- (5) Canada
- (6) China
- (7) Faroe Islands
- (8) Greenland
- (9) Guernsey
- (10) Hong Kong
- (11) India
- (12) Isle of Man
- (13) Japan
- (14) Jersey
- (15) Mexico
- (16) Monaco
- (17) New Zealand
- (18) North Macedonia
- (19) Saudi Arabia
- (20) Serbia
- (21) Singapore
- (22) South Africa
- (23) South Korea
- (24) Switzerland
- (25) Turkey
- (26) USA

ANNEX V

LIST OF THIRD COUNTRIES AND TERRITORIES REFERRED TO IN ARTICLE 5 (CREDIT INSTITUTIONS AND INVESTMENT FIRMS)

Credit institutions:

- (1) Argentina
- (2) Australia
- (3) Bosnia and Herzegovina
- (4) Brazil
- (5) Canada
- (6) China
- (7) Faroe Islands
- (8) Greenland
- (9) Guernsey
- (10) Hong Kong
- (11) India
- (12) Isle of Man
- (13) Japan
- (14) Jersey
- (15) Mexico
- (16) Monaco
- (17) New Zealand
- (18) North Macedonia
- (19) Saudi Arabia
- (20) Serbia
- (21) Singapore
- (22) South Africa
- (23) South Korea
- (24) Switzerland
- (25) Turkey
- (26) USA

Investment firms equivalent to an ‘institution’ as defined in Article 4(1), point (3), of Regulation (EU) No 575/2013:

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Hong Kong
- (6) Indonesia
- (7) Japan (limited to Type I Financial Instruments Business Operators)
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

ANNEX VI

LIST OF THIRD COUNTRIES AND TERRITORIES REFERRED TO IN ARTICLE 6 (CREDIT INSTITUTIONS AND INVESTMENT FIRMS)

Credit institutions:

- (1) Argentina
- (2) Australia
- (3) Bosnia and Herzegovina
- (4) Brazil
- (5) Canada
- (6) China
- (7) Faroe Islands
- (8) Greenland
- (9) Guernsey
- (10) Hong Kong
- (11) India
- (12) Isle of Man
- (13) Japan
- (14) Jersey
- (15) Mexico
- (16) Monaco
- (17) New Zealand
- (18) North Macedonia
- (19) Saudi Arabia
- (20) Serbia
- (21) Singapore
- (22) South Africa
- (23) South Korea
- (24) Switzerland
- (25) Turkey
- (26) USA

Investment firms equivalent to an ‘institution’ as defined in Article 4(1), point (3), of Regulation (EU) No 575/2013:

- (1) Australia
- (2) Brazil
- (3) Canada
- (4) China
- (5) Hong Kong
- (6) Indonesia
- (7) Japan (limited to Type I Financial Instruments Business Operators)
- (8) Mexico
- (9) South Korea
- (10) Saudi Arabia
- (11) Singapore
- (12) South Africa
- (13) USA

ANNEX VII
Correlation table

This Decision	Decision 2014/908/EU
Article 1	Article 1
Article 2	Article 2
Article 3	Article 3
Article 4	Article 4
Article 5	Article 5
Article 6	-
Article 7	-
Article 8	-