

MANUAL IGT TOOL

**NOTIFICATIONS/APPLICATIONS RELATED TO
INTRAGROUP TRANSACTIONS ACCORDING TO
ARTICLE 4(2),
ARTICLE 9(1), AND
ARTICLE 11(6)-(10) EMIR**

Version 3.4, April 2024

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I. Introduction

The [IGT tool](#) (“IGT-Intra Group Transaction”) has to be used by a group notifying or applying to the Austrian Financial Market Authority (FMA) to make use of the exemptions for intragroup transactions as defined in Article 4(2), 9(1) or 11(6)-(10) EMIR. In accordance with Article 4(2)(a), 9(1) or 11(6)-(10) EMIR, if either of the counterparties to the intragroup transactions are located in another EU member state, each of the counterparties must make separate notifications to their relevant competent authorities.

A notification under Article 4(2)(a) EMIR or application under Article 4(2)(b) EMIR must be made not less than 30 calendar days before the use of the exemption. For a notification under Article 4(2)(a) EMIR or an application under Article 4(2)(b) EMIR, the competent authorities may object to the use of this exemption within 30 calendar days after receipt of that notification if the transactions between the counterparties do not meet the conditions laid down in Article 3 EMIR, without prejudice to the right of the competent authorities to object after that period of 30 calendar days has expired where those conditions are no longer met.

In accordance with Article 4(2)(b) EMIR, the counterparty established in Austria has to be authorised by FMA within 30 calendar days to benefit from the exemption after submission of its application if the conditions laid down in Article 3 EMIR are met.

Pursuant to Art. 9(1) EMIR, if the notified competent authority does not object to the application within three months, the exemption shall be considered to be effective.

Specific time frames apply for applications or notifications pursuant to Art. 11(6-10) EMIR, depending on the counterparty pair involved.

In any of the cases described above, applicants will receive an official note by FMA, confirming their exemption. Where both counterparties to the intragroup transaction are located in Austria, a single notification can be made to the relevant competent authority (FMA) on behalf of both counterparties. Furthermore, if there are several counterparties of the group located in Austria, a single notification can be sent via the IGT web application, provided that the relevant prerequisites are met.

Generally, if you have any questions or problems, please contact IGT@fma.gv.at.

Steps to follow:

1. Request an IGT tool access	→ see chapter	IV. Access to IGT tool (p. 7)
2. Prepare & submit notification as needed:	a. Exemption from clearing obligation pursuant to Article 4(2) EMIR	→ see chapter V. Exemption from the clearing obligation (p. 15)
	b. Exemption from obligation to exchange collateral Article 11(6)-(10) EMIR	→ see chapter VI. Exemption from the collateral exchange obligation (p. 32)
	c. Exemption from reporting obligation Article 9(1) EMIR	→ see chapter VII. Exemption from the reporting obligation (p. 38)

II. Useful Links

IGT tool
IGT tool declaration
Clearing of Intra-Group Transactions
Collateralisation of Intra-Group Transactions
Reporting of Intra-Group Transactions
Clearing csv file template
Clearing risk management template
Collateral csv file template
Collateral Annex A template
Collateral Annex B template
Collateral Annex C template
Collateral Annex Y template
Collateral Annex Z template
Reporting csv file template
Reporting exemption notification
Clearing ESMA Q&A OTC
Austrian Fees Regulation

III. Abbreviations

BIC	Business Identifier Code
CP	Counterparty
EMIR	European Market Infrastructure Regulation, Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories
FC	Financial Counterparty per Art. 2 EMIR
FMA	Finanzmarktaufsicht Österreich, Financial Market Authority Austria; national competent authority for Austria
HO	Head office = central institution
IGT	Intragroup transactions
LEI	Legal Entity Identifier
NCA	National Competent Authority per Art. 2 EMIR
NFC	Non-financial Counterparty per Art. 2 EMIR
OTC	Over the counter
Q&A	Questions & answers
RM	Risk management
SWIFT	Society for Worldwide Interbank Financial Telecommunication
TCEFC	Third country equivalent: financial counterparty
TCENFC	Third country equivalent: non-financial counterparty

IV. Access to IGT tool

It is important that the information provided in the [IGT tool](#) and all additional forms required are accurate, complete and consistent. If information provided is incorrect or misleading, then the person submitting this form may be in breach of legislative requirements and subject to enforcement action.

IV.A. Registration for an account

Before registering for an account, it is essential to fill in and sign the [IGT tool declaration](#) that is available on the FMA website:

IGT tool
IGT tool declaration

A sample form of the [IGT tool declaration](#) can be found in **VIII.A. Example of an .**

IV.A.1. Declaration

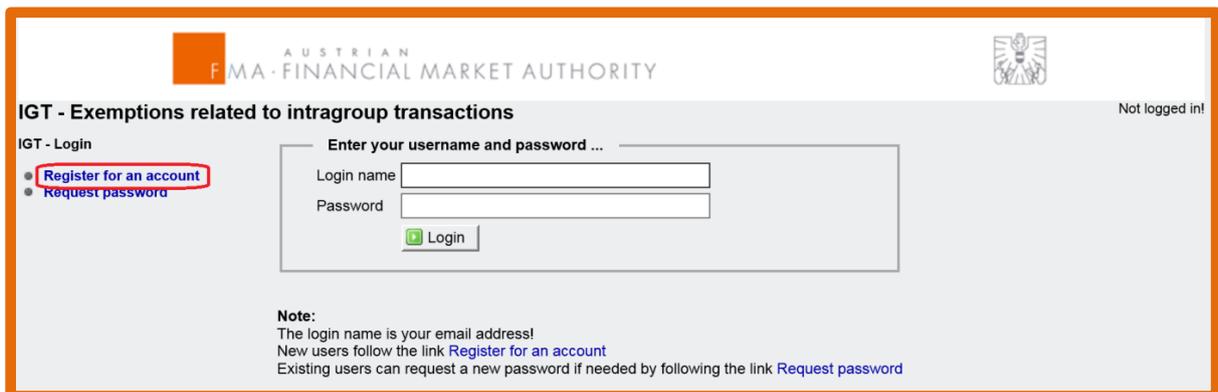
As stated above, it is essential that users of the [IGT tool](#) provide only information that is accurate and complete. By submitting the [IGT tool declaration](#) to FMA, users state that all data and information submitted to FMA is correct. In addition, users confirm to have the consent from all other intragroup counterparties if users submit notifications or applications to FMA on their behalf. Moreover, users have to confirm that FMA is notified immediately in case of significant changes to the information submitted to FMA via the [IGT tool](#).

The [IGT tool declaration](#) has to be sent to FMA via email: IGT@fma.gv.at

IV.A.2. Login to the IGT tool web application

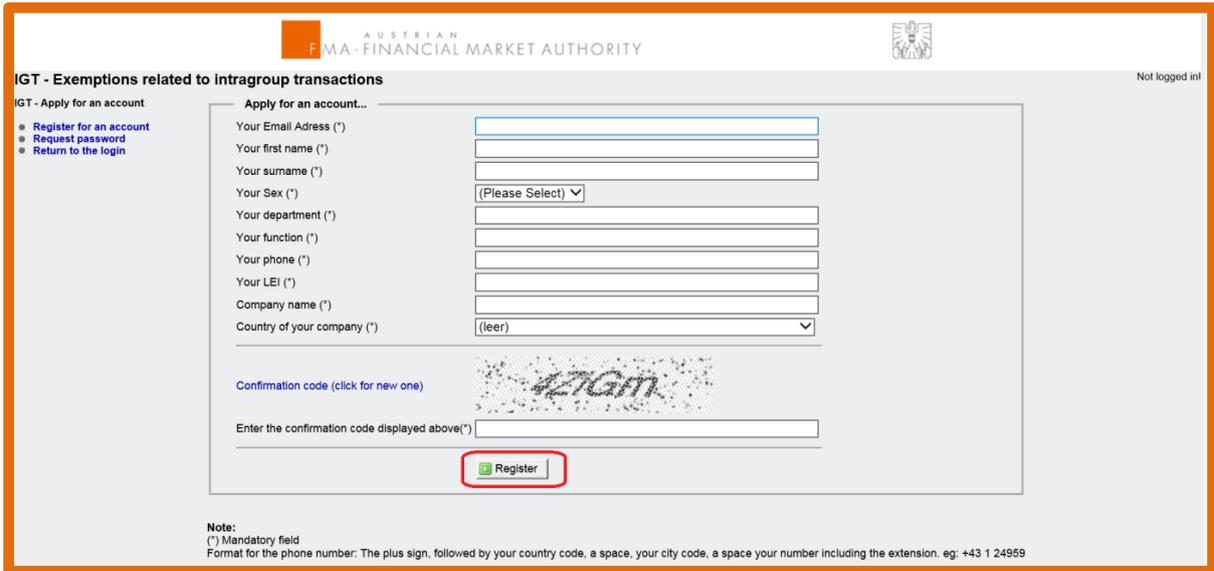
Before using the [IGT tool](#), users have to register for an account:

After accessing the application's [IGT tool landing page](#), please select the "Register for an account" button on the start page.



The screenshot shows the FMA (Austrian Financial Market Authority) website interface for the IGT tool. The page title is "IGT - Exemptions related to intragroup transactions". In the top right corner, it says "Not logged in". On the left side, under "IGT - Login", there are two radio button options: "Register for an account" (which is selected and circled in red) and "Request password". To the right of these options is a login form titled "Enter your username and password ..." with fields for "Login name" and "Password", and a "Login" button. Below the login form, there is a "Note" section stating: "The login name is your email address! New users follow the link Register for an account. Existing users can request a new password if needed by following the link Request password".

Figure 1: [IGT tool landing page](#)



IGT - Exemptions related to intragroup transactions Not logged in!

IGT - Apply for an account

- Register for an account
- Request password
- Return to the login

Apply for an account...

Your Email Address (*)

Your first name (*)

Your surname (*)

Your Sex (*) (Please Select) v

Your department (*)

Your function (*)

Your phone (*)

Your LEI (*)

Company name (*)

Country of your company (*) (leer) v

Confirmation code (click for new one) **427GM**

Enter the confirmation code displayed above(*)

Note:
 (*) Mandatory field
 Format for the phone number: The plus sign, followed by your country code, a space, your city code, a space your number including the extension. eg: +43 1 24959

Figure 2: [IGT tool registration form](#)

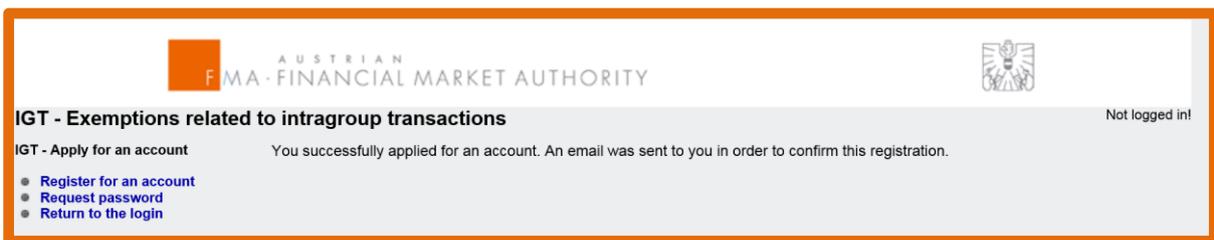
The registration form has to be completed (mandatory fields marked with an asterisk).

Note: Please consider the following information regarding the phone number format requirements:

+*[country code]**[blank space]**[local code]**[blank space]**[phone number including extension]*
 Example: +43 1 249593199

It should be noted that in this form, the data of the entity registering in the tool is requested, irrespective of whether this entity is the parent company, the entity applying for an exemption or another group entity (e.g. the entity responsible for the centralised risk management). Furthermore, no group emails are allowed.

Upon completion, select the “Register” button.



IGT - Exemptions related to intragroup transactions Not logged in!

IGT - Apply for an account You successfully applied for an account. An email was sent to you in order to confirm this registration.

- Register for an account
- Request password
- Return to the login

Figure 3: [IGT tool successful account registration application](#)

Users will receive an automated confirmation email with a confirmation link:

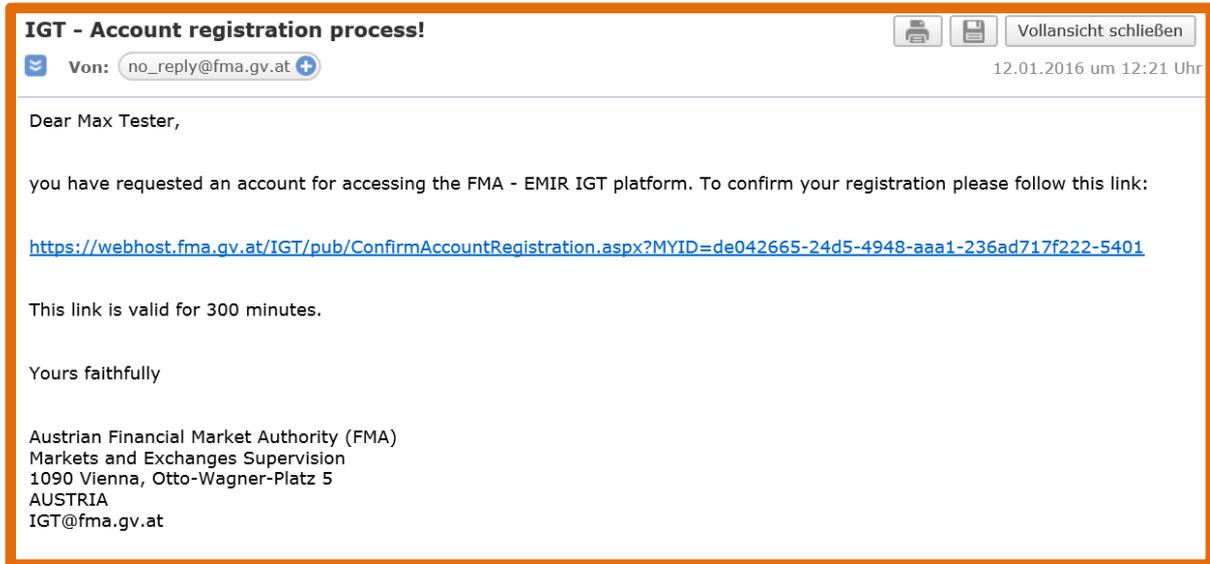


Figure 4: IGT tool confirmation link email

Upon selecting or copying the link in the email, an overview of the account registration data will show. Please verify the data and click on the “Confirm” button.

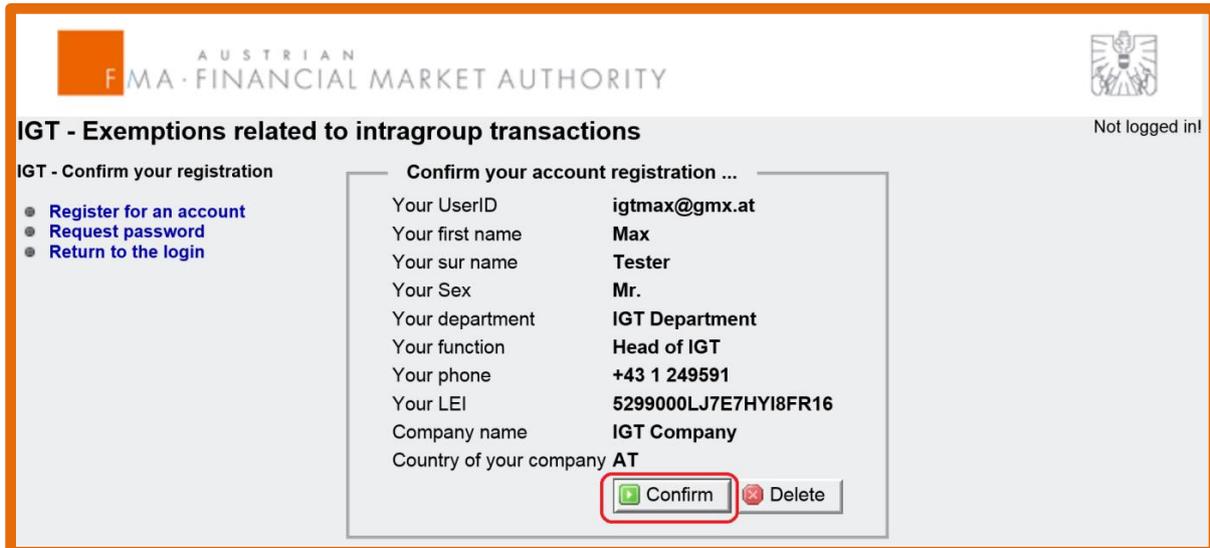


Figure 5: IGT tool “Confirm” button

After confirming the data, a confirmation page will show and another automated email is sent:

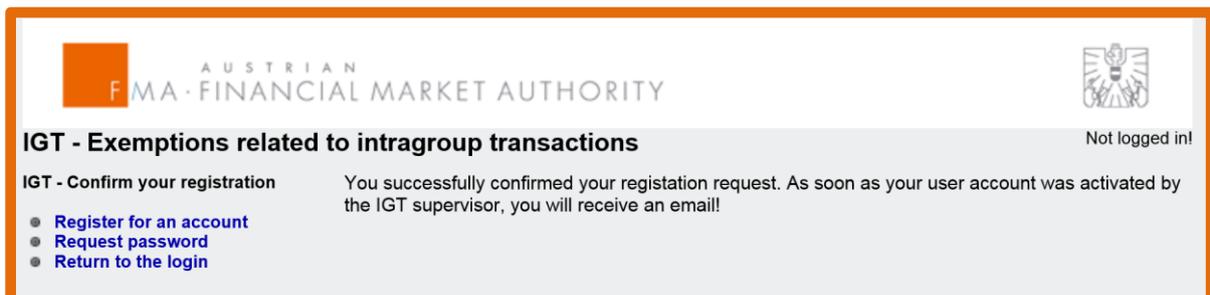


Figure 6: IGT tool confirmation page

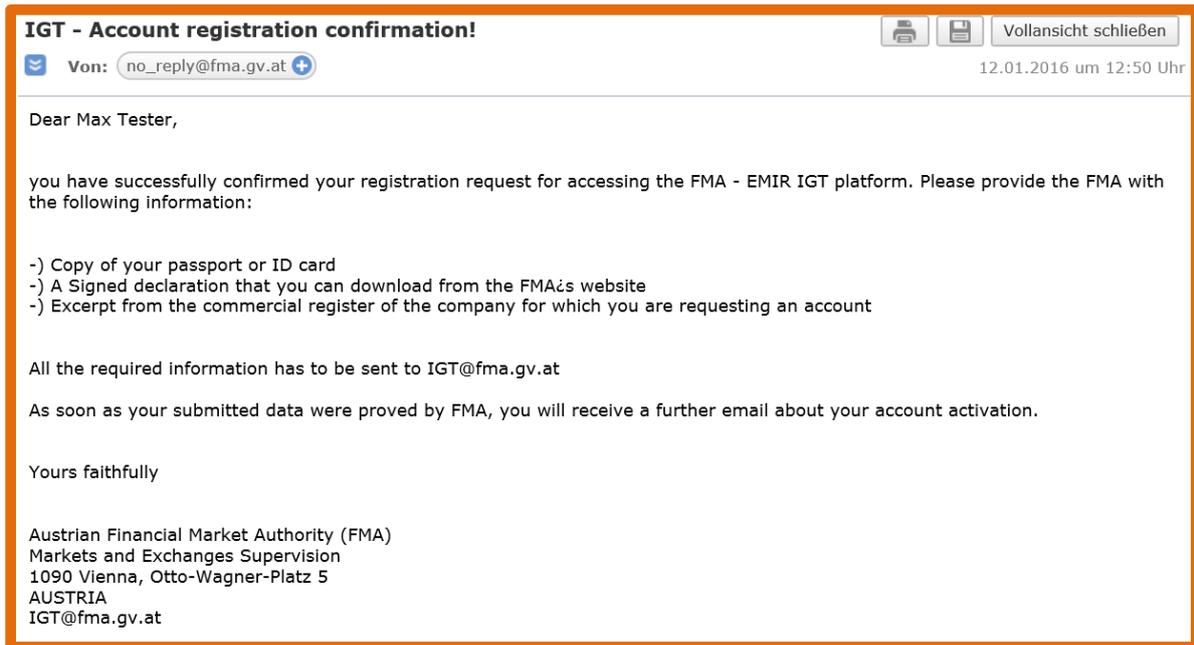


Figure 7: IGT tool confirmation email

To successfully conclude the registration, provide the following information to FMA:

- A copy of the user's passport or ID card
- The [IGT tool declaration](#) that can be found on FMA's website (see **VIII.A Example of an** for a sample declaration)
- An extract from the commercial register of the company for which the account is requested

The information shall be sent to: IGT@fma.gv.at

FMA will validate the information in a timely manner and confirm the requested account, which will trigger another confirmation email:

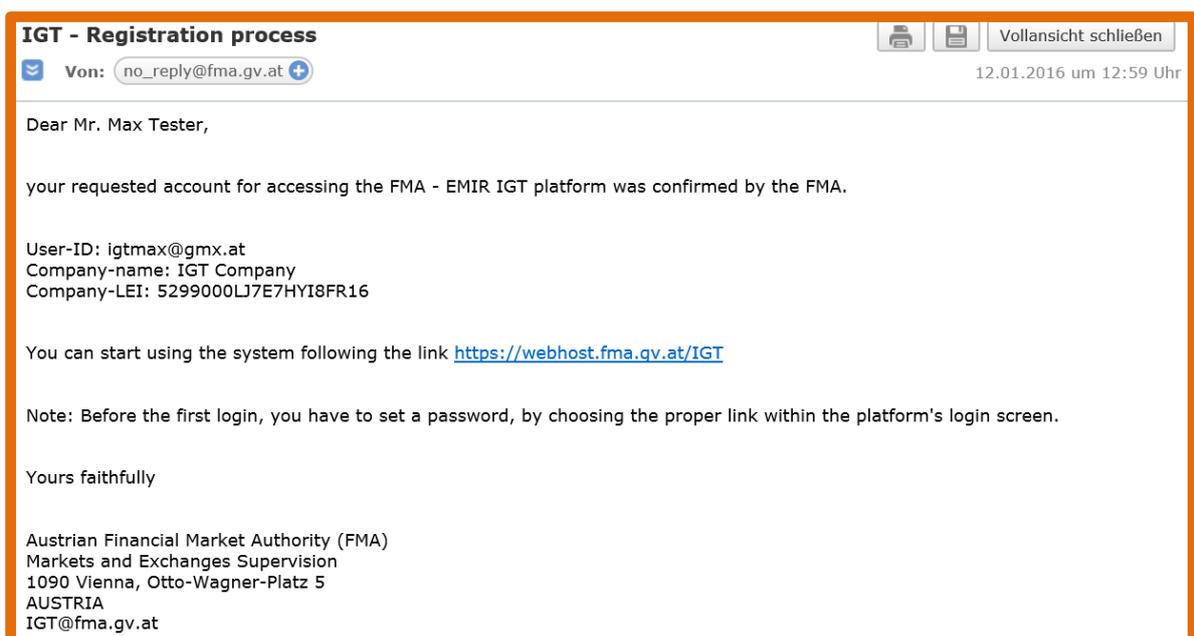
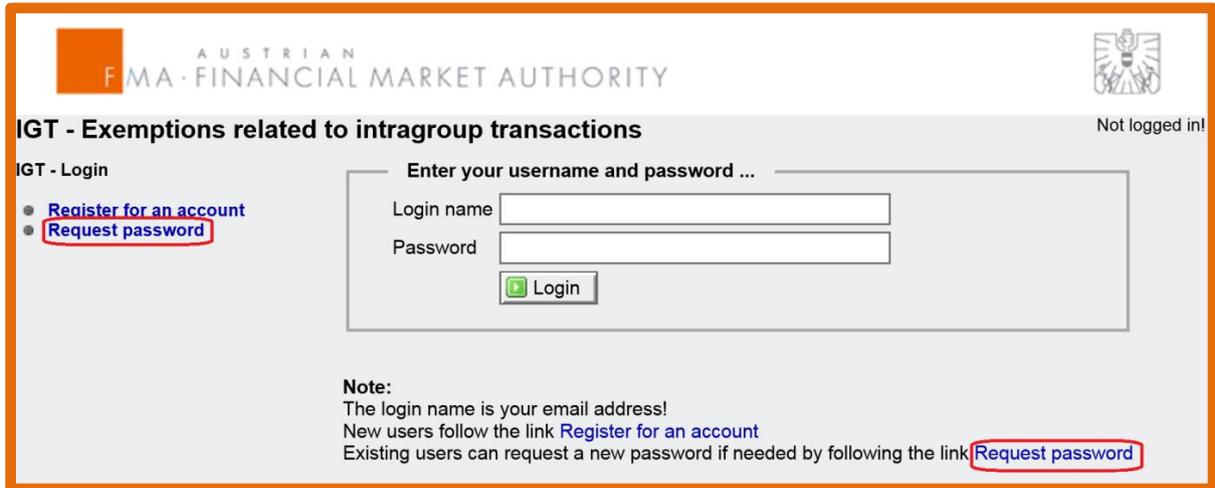


Figure 8: IGT tool account registration final confirmation

Select the link in the email or copy & paste the web address to start working with the [IGT tool](#).



AUSTRIAN FMA · FINANCIAL MARKET AUTHORITY

IGT - Exemptions related to intragroup transactions Not logged in!

IGT - Login

Enter your username and password ...

Login name

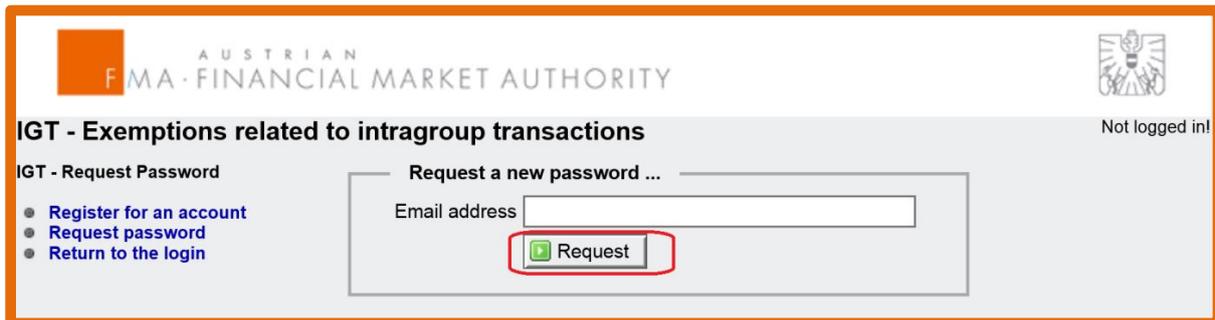
Password

- [Register for an account](#)
- [Request password](#)

Note:
 The login name is your email address!
 New users follow the link [Register for an account](#)
 Existing users can request a new password if needed by following the link [Request password](#)

Figure 9: IGT tool login page

To log in to the [IGT tool](#), a password has to be set by selecting the “Request password” button on the left side or at the bottom of the page.



AUSTRIAN FMA · FINANCIAL MARKET AUTHORITY

IGT - Exemptions related to intragroup transactions Not logged in!

IGT - Request Password

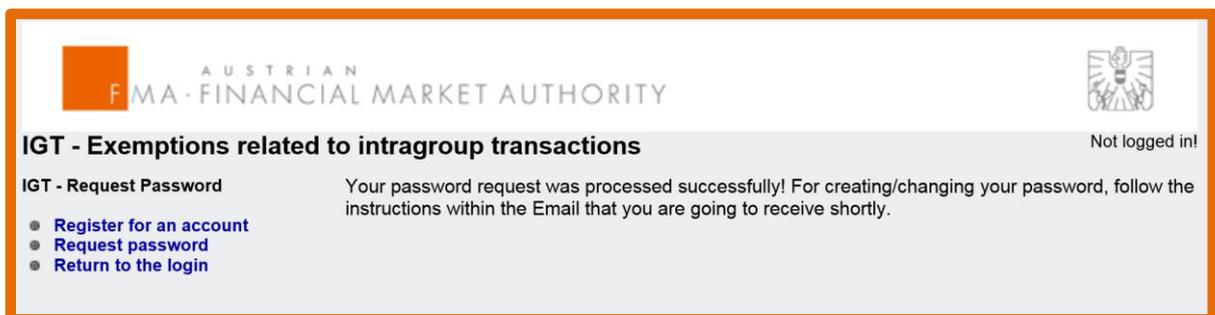
Request a new password ...

Email address

- [Register for an account](#)
- [Request password](#)
- [Return to the login](#)

Figure 10: IGT tool request password page

Enter the email address under which the account for the [IGT tool](#) was registered. Upon clicking on the “Request” button, a password request message and an automated email with a password creation link will be shared.



AUSTRIAN FMA · FINANCIAL MARKET AUTHORITY

IGT - Exemptions related to intragroup transactions Not logged in!

IGT - Request Password

Your password request was processed successfully! For creating/changing your password, follow the instructions within the Email that you are going to receive shortly.

- [Register for an account](#)
- [Request password](#)
- [Return to the login](#)

Figure 11: IGT tool password request message

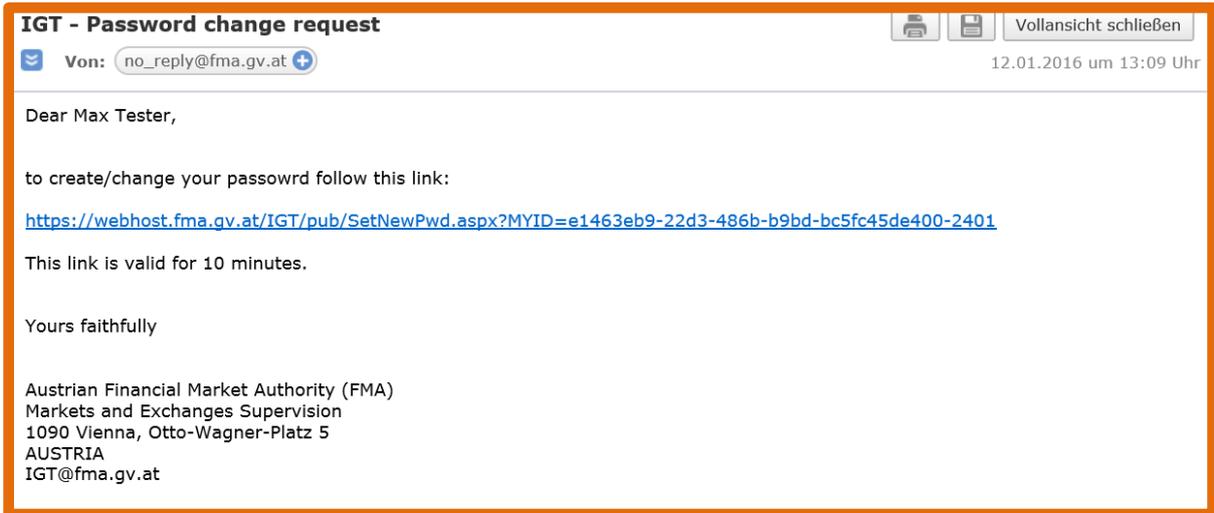


Figure 12: IGT tool password request email

The password policy is shown below:

- Must be at least 8 characters.
- Must contain at least one lower or upper case letter.
- Must contain at least one number.

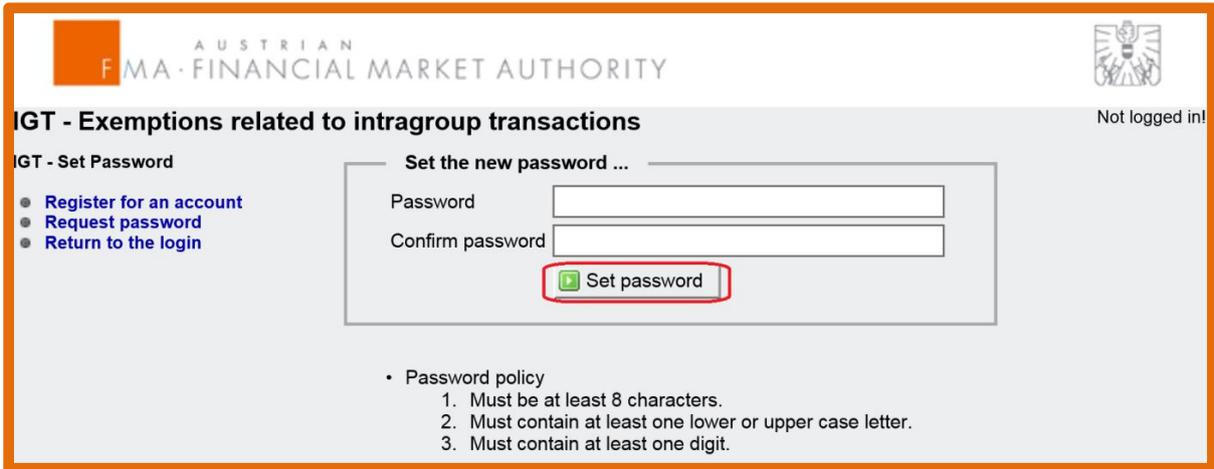


Figure 13: IGT tool set password page

After setting and confirming the password, select the “Set password” button to confirm. To start working in the [IGT tool](#), select the “Return to the login” button.

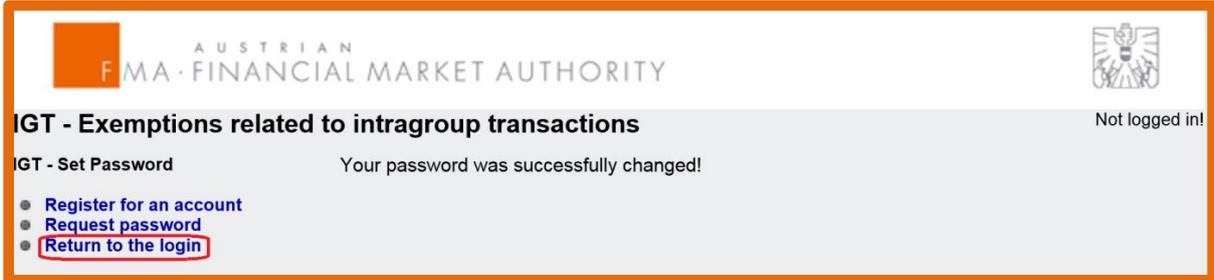


Figure 14: IGT tool navigation pane

To enter the [IGT tool](#), log in using the email address (“Login name”) and password plus a one-time passcode which is sent to the registered email address.

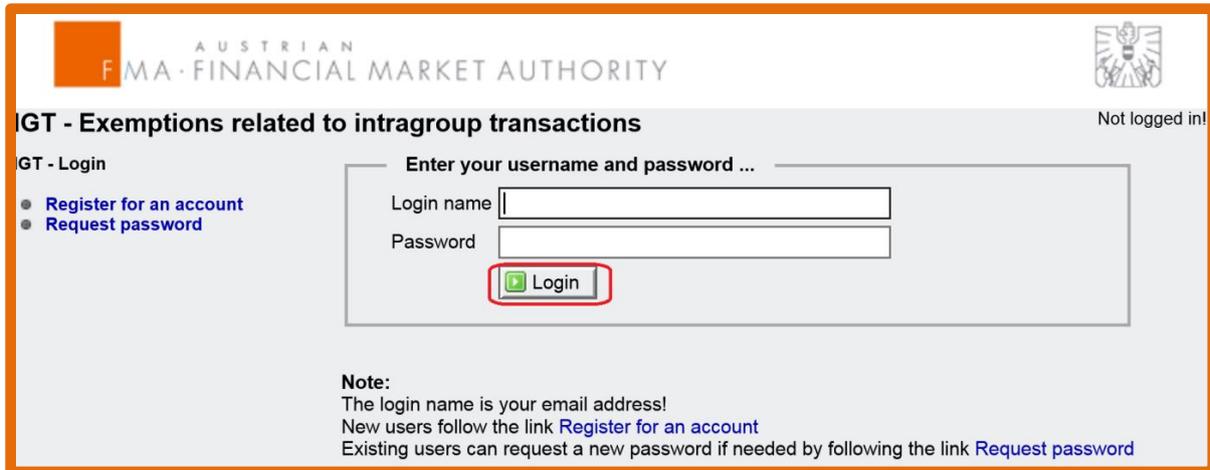


Figure 15: IGT tool login page



Figure 16: IGT tool one-time passcode email

Enter the one-time passcode provided in the email and select the “Confirm” button.

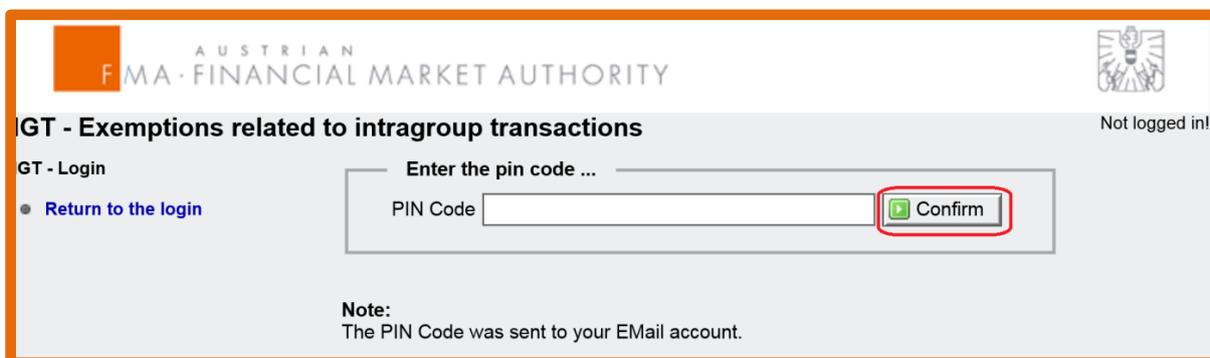
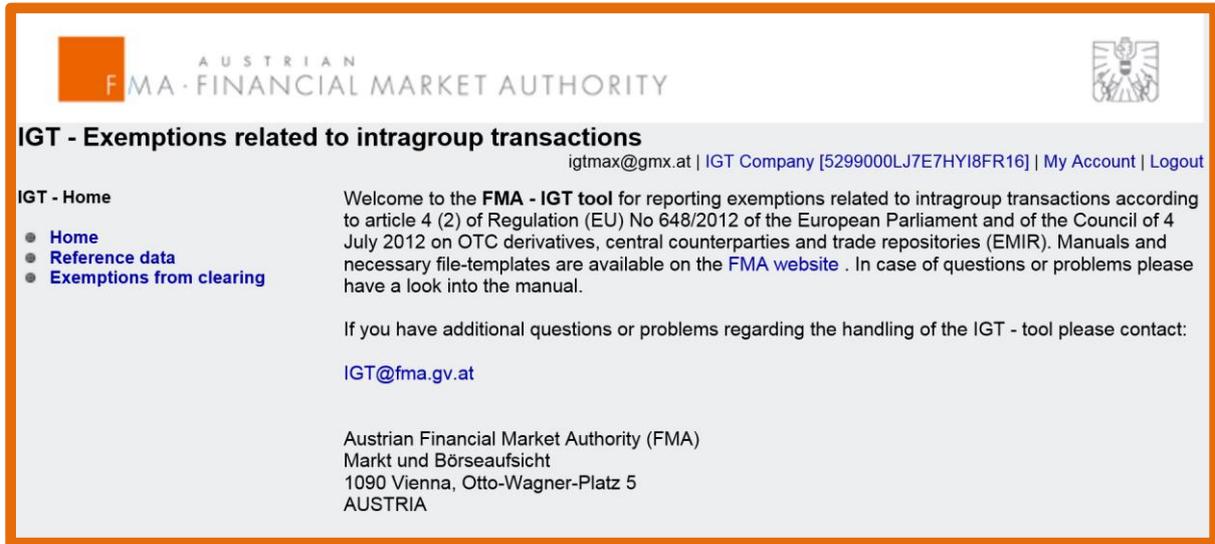


Figure 17: IGT tool one-time passcode for login

After the first login, the following start page will show:



The screenshot shows the start page of the IGT tool. At the top left is the FMA logo (an orange square with 'FMA' in white) and the text 'AUSTRIAN FMA · FINANCIAL MARKET AUTHORITY'. At the top right is the Austrian coat of arms. Below the header, the main heading is 'IGT - Exemptions related to intragroup transactions'. To the right of this heading are links: 'igtmax@gmx.at | IGT Company [5299000LJ7E7HYI8FR16] | My Account | Logout'. On the left side, under 'IGT - Home', there is a list of links: 'Home', 'Reference data', and 'Exemptions from clearing'. The main content area contains a welcome message: 'Welcome to the FMA - IGT tool for reporting exemptions related to intragroup transactions according to article 4 (2) of Regulation (EU) No 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories (EMIR). Manuals and necessary file-templates are available on the FMA website. In case of questions or problems please have a look into the manual.' Below this is contact information: 'If you have additional questions or problems regarding the handling of the IGT - tool please contact: IGT@fma.gv.at'. At the bottom, the full address of the Austrian Financial Market Authority (FMA) is provided: 'Austrian Financial Market Authority (FMA) Markt und Börseaufsicht 1090 Vienna, Otto-Wagner-Platz 5 AUSTRIA'.

Figure 18: IGT tool user start page

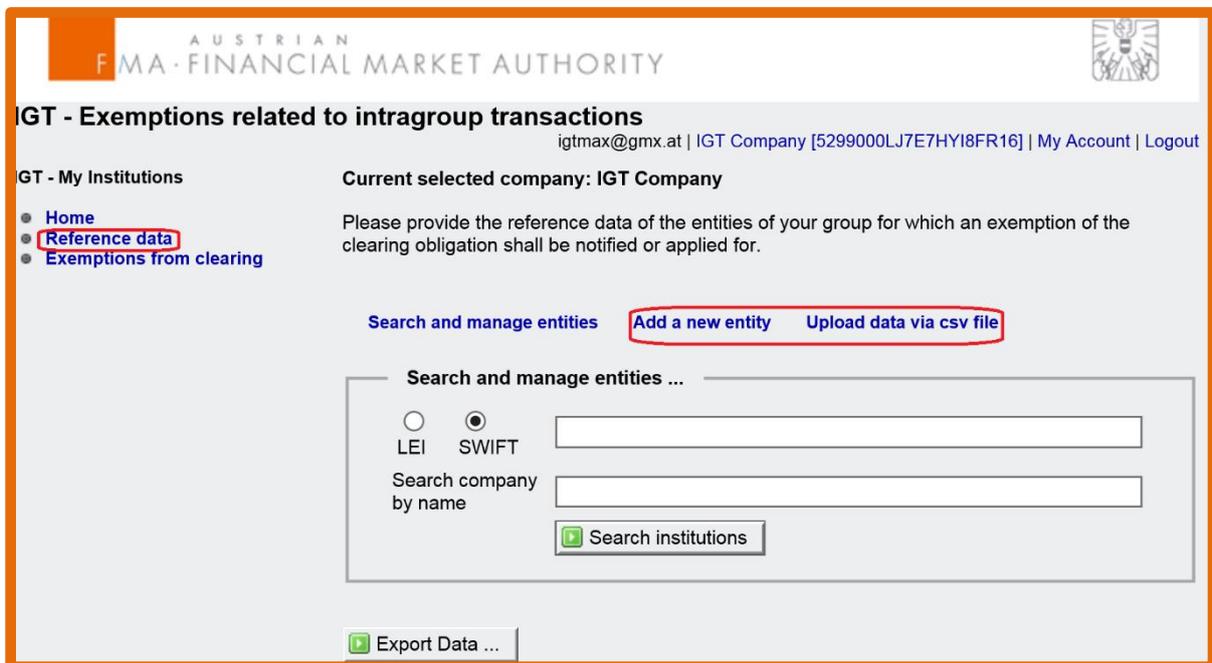
Please note that for each login, a new PIN Code has to be requested from FMA. If a user is logged or timed out and wishes to re-enter the [IGT tool](#), another login procedure has to be initiated to receive another one-time passcode.

V. Exemption from the clearing obligation

V.A. Recording of reference data of the legal entities of the group

There are two options to upload information on the institutions belonging to a group: group entities may either be recorded manually or uploaded with a csv file; see the “Reference data” menu on the left navigation pane. The user can select to “Add a new institution” or to “Upload via csv-file”.

In either case, it should be noted that also the entity registered in the [IGT tool](#) has to be included in the reference data upload if it shall benefit from the clearing exemption.



The screenshot shows the FMA website interface for recording reference data. The header includes the FMA logo and the text 'AUSTRIAN FMA · FINANCIAL MARKET AUTHORITY'. The main heading is 'IGT - Exemptions related to intragroup transactions'. Below this, there is a user profile section with 'igtmax@gmx.at | IGT Company [5299000LJ7E7HY18FR16] | My Account | Logout'. The left navigation pane shows 'GT - My Institutions' with a sub-menu containing 'Home', 'Reference data' (highlighted with a red box), and 'Exemptions from clearing'. The main content area displays 'Current selected company: IGT Company' and a prompt: 'Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.' Below this, there are three buttons: 'Search and manage entities', 'Add a new entity' (highlighted with a red box), and 'Upload data via csv file' (highlighted with a red box). A search form titled 'Search and manage entities ...' contains radio buttons for 'LEI' and 'SWIFT' (the latter is selected), a text input field, and a 'Search institutions' button. At the bottom, there is an 'Export Data ...' button.

Figure 19: Clearing exemption - reference data manual entry

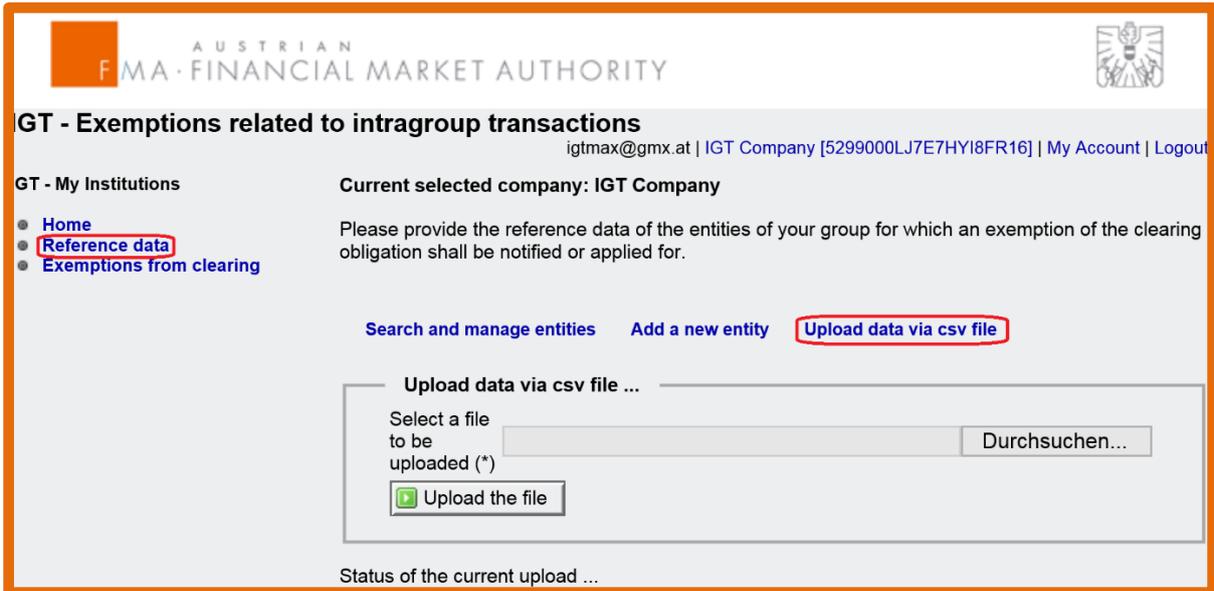
A search function (by LEI, SWIFT or name) can be used by clicking on the “Search and manage entities” link.

V.A.1. Recording of reference data via CSV-File

A csv file template to be used for the upload is provided on FMA’s website:

[Clearing csv file template](#)

A sample csv file can be found in **VIII.B. Example of a CSV File for exemption IGT** clearing.



FMA - AUSTRIAN FINANCIAL MARKET AUTHORITY

igtmax@gmx.at | IGT Company [5299000LJ7E7HYI8FR16] | My Account | Logout

IGT - Exemptions related to intragroup transactions

GT - My Institutions

- Home
- Reference data
- Exemptions from clearing

Current selected company: IGT Company

Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.

Search and manage entities Add a new entity **Upload data via csv file**

Upload data via csv file ...

Select a file to be uploaded (*)

Status of the current upload ...

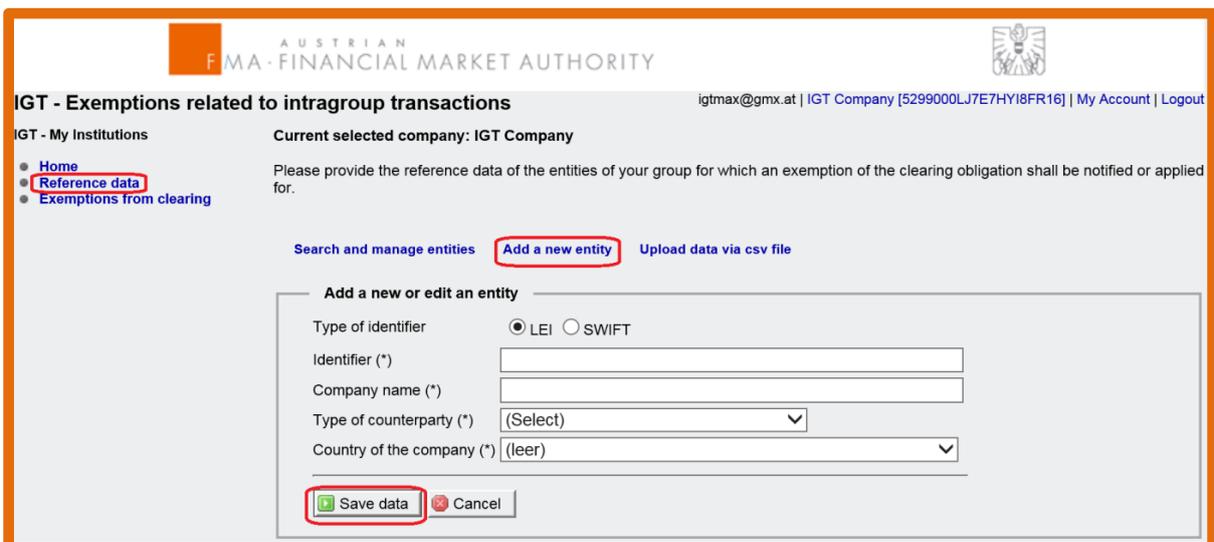
Figure 20: Clearing exemption upload csv file

Attention should be paid to the following:

A new csv file upload overwrites all previous ones. To add additional data or amend the initially uploaded reference data, a full new csv file upload has to be submitted to the [IGT tool](#). Existing files can be exported from the [IGT tool](#) by clicking on the “Export data” button. After revising the data, the updated csv file can be uploaded.

V.A.2. Manual recording of reference data

In this case, all required fields (marked with an asterisk) must be filled; data can be saved by clicking the “Save data” button. Please note that a LEI or SWIFT code may be used as identifier of a group entity, the preferred identifier being the LEI.



FMA - AUSTRIAN FINANCIAL MARKET AUTHORITY

igtmax@gmx.at | IGT Company [5299000LJ7E7HYI8FR16] | My Account | Logout

IGT - Exemptions related to intragroup transactions

GT - My Institutions

- Home
- Reference data
- Exemptions from clearing

Current selected company: IGT Company

Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.

Search and manage entities **Add a new entity** Upload data via csv file

Add a new or edit an entity

Type of identifier LEI SWIFT

Identifier (*)

Company name (*)

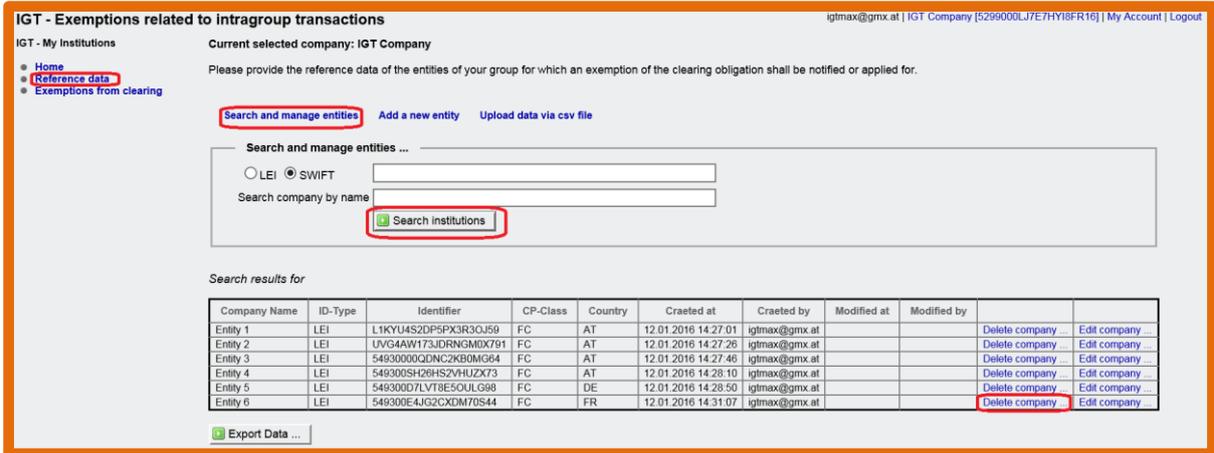
Type of counterparty (*) (Select)

Country of the company (*) (leer)

Figure 21: Clearing exemption manual reference data entry

V.A.3. Deletion of entities

Before creating counterparty pairs using the [IGT tool](#)'s generator, it should be verified whether all group entities relevant for the IGT notification or application were included in the uploaded data by selecting the “Reference data” and “Search institutions” links. To delete a company from the list, select the “Delete company” button for the relevant entity.



IGT - Exemptions related to intragroup transactions

Current selected company: IGT Company

Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.

[Search and manage entities](#) [Add a new entity](#) [Upload data via csv file](#)

Search and manage entities ...

LEI SWIFT

Search company by name

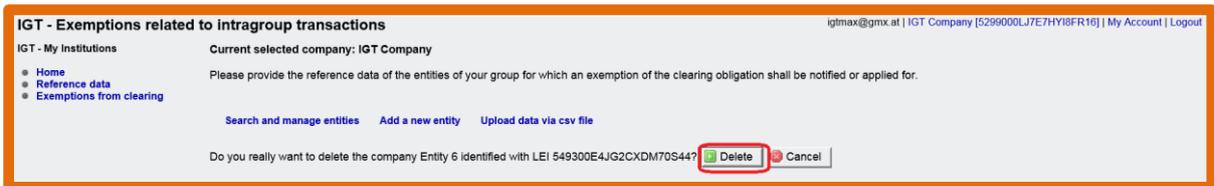
[Search institutions](#)

Search results for

Company Name	ID-Type	Identifier	CP-Class	Country	Created at	Created by	Modified at	Modified by		
Entity 1	LEI	L1KYU4S2DP5PX3R3OJ59	FC	AT	12 01 2016 14 27 01	igtmax@gmx.at			Delete company ...	Edit company ...
Entity 2	LEI	UVG4AW173JDRNGM0X791	FC	AT	12 01 2016 14 27 26	igtmax@gmx.at			Delete company ...	Edit company ...
Entity 3	LEI	5493000QDNC2K90M364	FC	AT	12 01 2016 14 27 46	igtmax@gmx.at			Delete company ...	Edit company ...
Entity 4	LEI	549300SH26HS2VHUJZ73	FC	AT	12 01 2016 14 28 10	igtmax@gmx.at			Delete company ...	Edit company ...
Entity 5	LEI	549300D7LVTRE5OULG98	FC	DE	12 01 2016 14 28 50	igtmax@gmx.at			Delete company ...	Edit company ...
Entity 6	LEI	549300E4JG2CXM70S44	FC	FR	12 01 2016 14 31 07	igtmax@gmx.at			Delete company ...	Edit company ...

[Export Data ...](#)

Figure 22: Reference data overview



IGT - Exemptions related to intragroup transactions

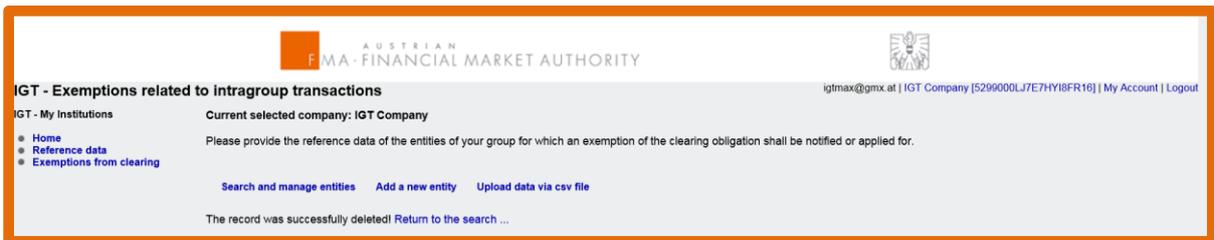
Current selected company: IGT Company

Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.

[Search and manage entities](#) [Add a new entity](#) [Upload data via csv file](#)

Do you really want to delete the company Entity 6 identified with LEI 549300E4JG2CXM70S44? [Delete](#) [Cancel](#)

Figure 23: Reference data deletion



IGT - Exemptions related to intragroup transactions

Current selected company: IGT Company

Please provide the reference data of the entities of your group for which an exemption of the clearing obligation shall be notified or applied for.

[Search and manage entities](#) [Add a new entity](#) [Upload data via csv file](#)

The record was successfully deleted! [Return to the search ...](#)

Figure 24: Reference data deletion - confirmation

V.B. Creation of an application/notification

V.B.1. Using the integrated generator to create counterparty pairs

To create counterparty pairs allowed to enter into OTC derivative transactions within the same group, select the “Exemptions from clearing” and “Create new transmission” sections.

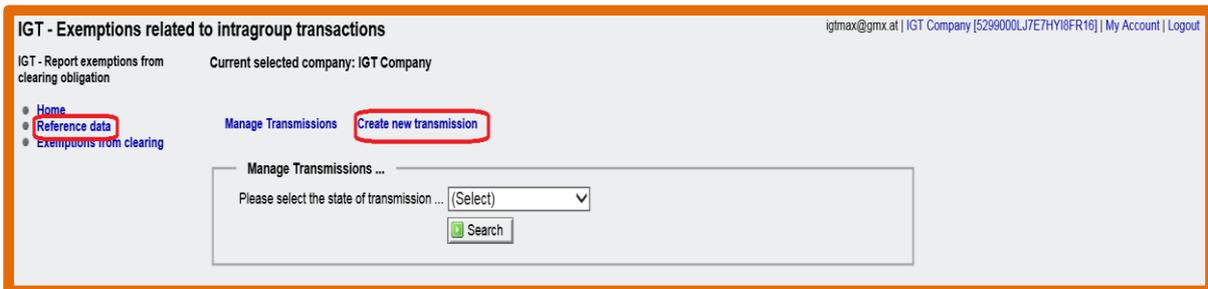


Figure 25: Counterparty pairs selection

The following menu will appear:

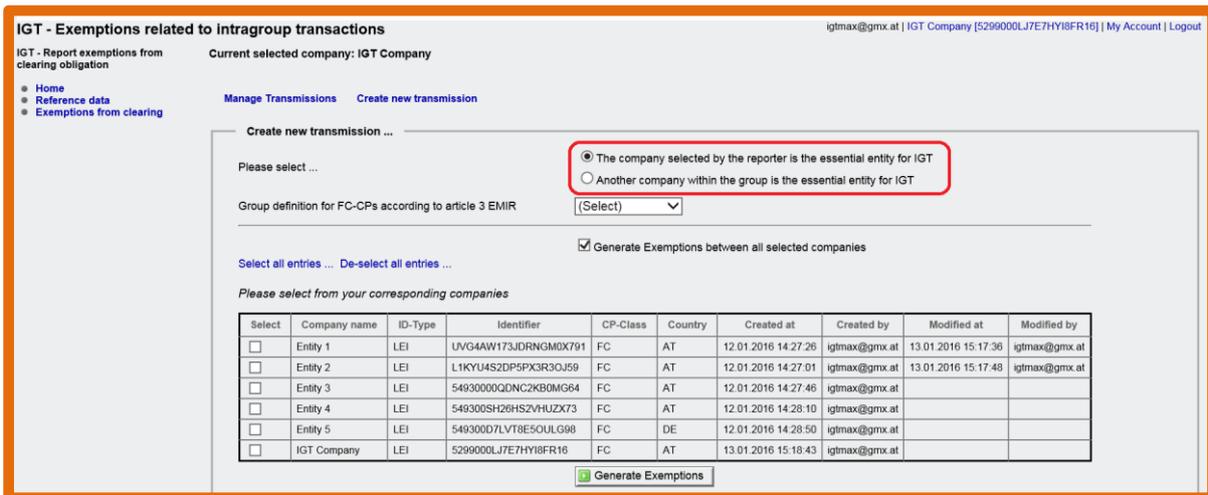


Figure 26: Counterparty pairs overview – essential entity 1

The essential entity for IGT must be specified by selecting the relevant field in the menu.

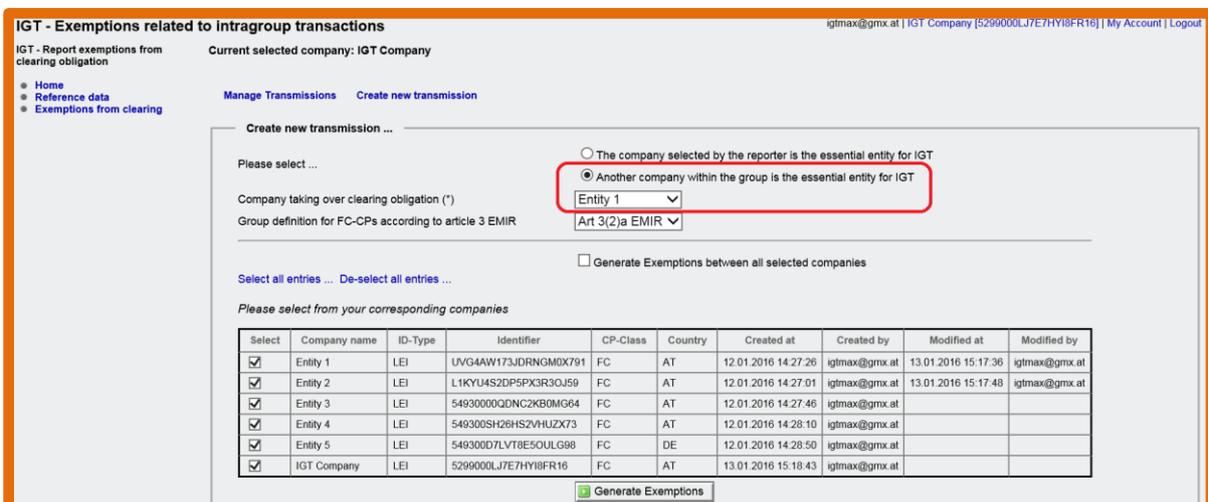


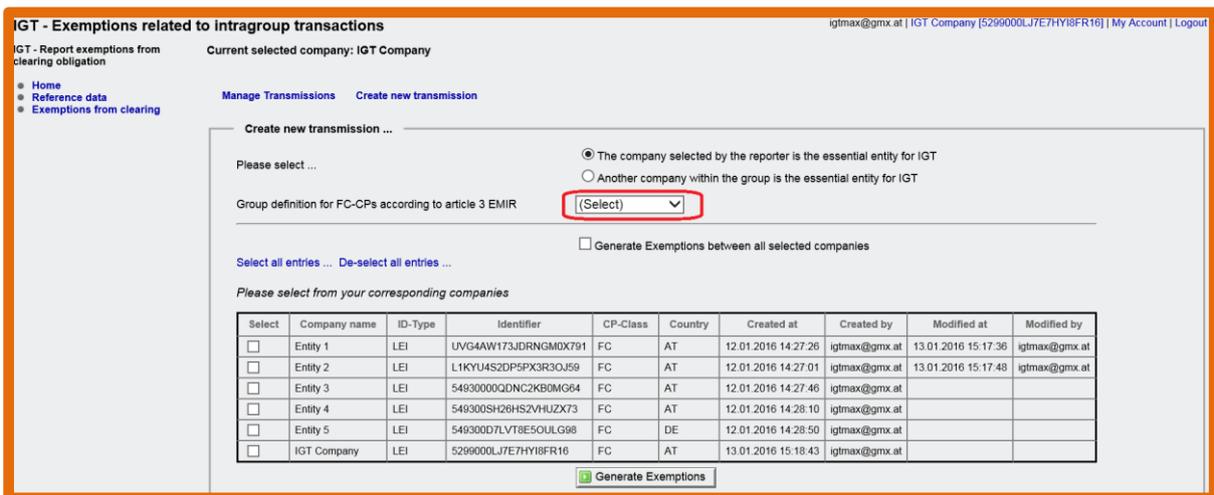
Figure 27: Counterparty pairs overview – essential entity 2

Attention should be paid to the following:

“Essential entity for IGT” is not the same as central institution of the group or parent company (pursuant to Art. 2 no. 21 EMIR). The essential entity for IGT is the company acting as main entity within the IGT group.

In the above example, *IGT Company* is registered in the [IGT tool](#) and it is also the parent company of the group (pursuant to Art. 2 no. 21 EMIR). If *IGT Company* is also responsible for the IGT group and acting as the main (= essential) entity within the IGT group (with regard to OTC derivative trading and centralised risk management), then it has to be selected as “**The Company selected by the reporter is the essential entity for IGT**”. If another entity within the IGT group (entities 1-5 in the above example) is acting as the main (= essential) entity within the IGT group, then the second option (“**Another company within the group is the essential entity for IGT**”) has to be selected. IGT group in this context means all entities uploaded into the [IGT tool](#) that wish to benefit from a clearing exemption.

Next, the group definition according to Art. 3 EMIR has to be selected, i.e. whether the financial counterparty as the essential entity for IGT falls under the definition 3(2)(a), 3(2)(b) or 3(2)(c) EMIR.



IGT - Exemptions related to intragroup transactions

Current selected company: IGT Company

Please select ...

The company selected by the reporter is the essential entity for IGT
 Another company within the group is the essential entity for IGT

Group definition for FC-CPs according to article 3 EMIR: ((Select))

Generate Exemptions between all selected companies

Please select from your corresponding companies

Select	Company name	ID-Type	Identifier	CP-Class	Country	Created at	Created by	Modified at	Modified by
<input type="checkbox"/>	Entity 1	LEI	UVG4AW173JDRNGMOX791	FC	AT	12.01.2016 14:27:26	igtmax@gmx.at	13.01.2016 15:17:36	igtmax@gmx.at
<input type="checkbox"/>	Entity 2	LEI	L1KYU4S2DP5PX3R3OJ59	FC	AT	12.01.2016 14:27:01	igtmax@gmx.at	13.01.2016 15:17:48	igtmax@gmx.at
<input type="checkbox"/>	Entity 3	LEI	5493000QDNC2KB0MG64	FC	AT	12.01.2016 14:27:46	igtmax@gmx.at		
<input type="checkbox"/>	Entity 4	LEI	549300SH26HS2VHJZX73	FC	AT	12.01.2016 14:28:10	igtmax@gmx.at		
<input type="checkbox"/>	Entity 5	LEI	549300D7LVT8E5OULG98	FC	DE	12.01.2016 14:28:50	igtmax@gmx.at		
<input type="checkbox"/>	IGT Company	LEI	5299000LJ7E7HY18FR16	FC	AT	13.01.2016 15:18:43	igtmax@gmx.at		

Figure 28: Group definition

In the final step, the counterparty pairs within the group are created by using the generator in the tool, with the following possibilities:

a) All possible pairs

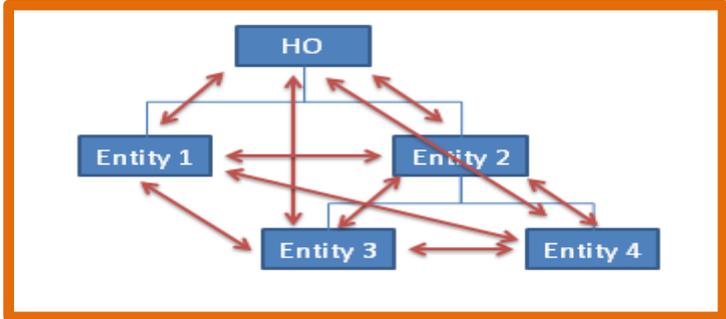


Figure 29: Counterparty pairs - all possible pairs

To generate each possible pair within the IGT group, select the button “Generate Exemptions between all selected companies” and then click “Select all entries”. Only some of the companies (i.e. a subgroup) in the list may be selected, in which case the generator calculates all possible pairs of the chosen entities.

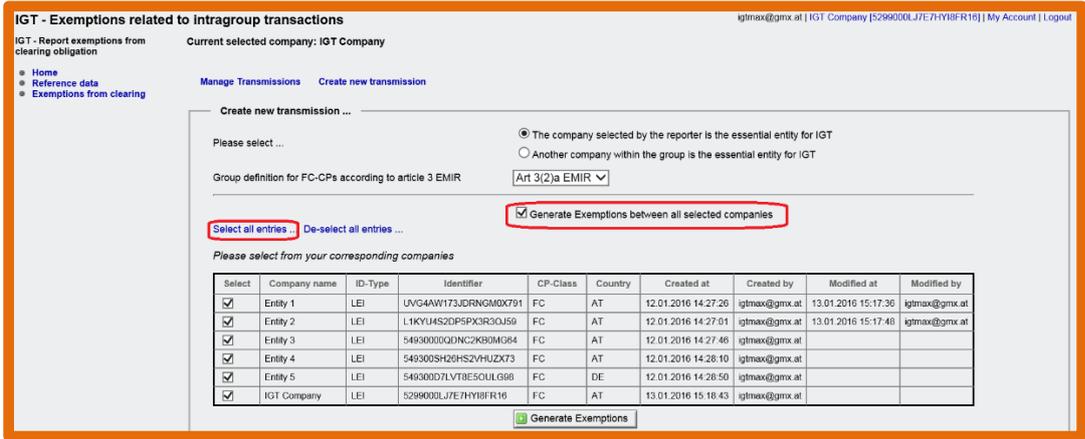


Figure 30: CP pairs - all selected

b) Essential entity for IGT with all other entities

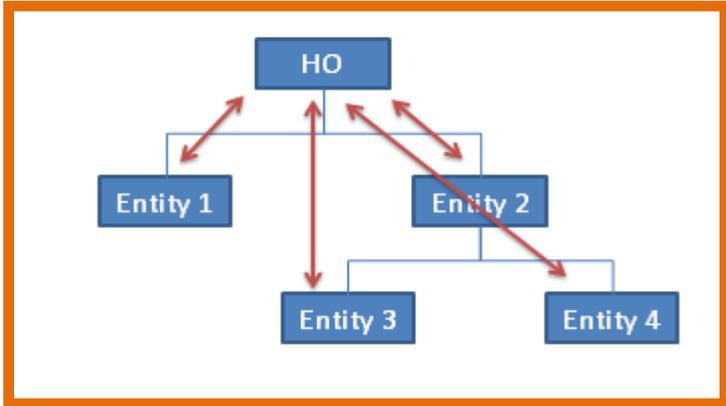


Figure 31: Counterparty pairs - main entity with all others

If only the essential entity for IGT (in this case – HO – which is the company registered in the [IGT tool](#)) is allowed to make transactions in OTC derivatives with (all) other entities in the IGT group, then the relevant institutions have to be selected but not the “Generate Exemptions between all selected companies” option.

IGT - Exemptions related to intragroup transactions

Current selected company: IGT Company

Manage Transmissions Create new transmission

Create new transmission ...

Please select ...

The company selected by the reporter is the essential entity for IGT

Another company within the group is the essential entity for IGT

Group definition for FC-CPs according to article 3 EMIR: Art 3(2)a EMIR

Generate Exemptions between all selected companies

Select all entries ... De-select all entries ...

Please select from your corresponding companies

Select	Company name	ID-Type	Identifier	CP-Class	Country	Created at	Created by	Modified at	Modified by
<input checked="" type="checkbox"/>	Entity 1	LEI	UVG4AW173JDRNGMDX791	FC	AT	12.01.2016 14:27:26	igtlmax@gmx.at	13.01.2016 15:17:36	igtlmax@gmx.at
<input checked="" type="checkbox"/>	Entity 2	LEI	L1KYU4S2DP5PX3R3OJ59	FC	AT	12.01.2016 14:27:01	igtlmax@gmx.at	13.01.2016 15:17:48	igtlmax@gmx.at
<input checked="" type="checkbox"/>	Entity 3	LEI	5493000QDNC2KBOMG64	FC	AT	12.01.2016 14:27:46	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 4	LEI	549300SH26HSZVHUZX73	FC	AT	12.01.2016 14:28:10	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 5	LEI	549300D7LVT8E5OULG88	FC	DE	12.01.2016 14:28:50	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	IGT Company	LEI	5299000LJ7E7HY8FR16	FC	AT	13.01.2016 15:18:43	igtlmax@gmx.at		

Generate Exemptions

Figure 32: CP pairs - main entity with all other entities

c) Another essential entity for IGT (not the registered one) with all other entities

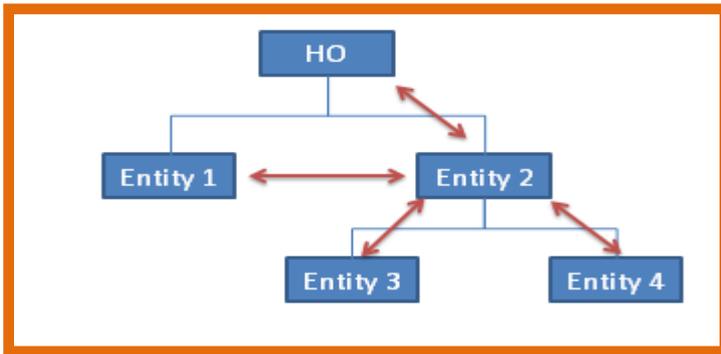


Figure 33: Counterparty pairs - other essential entity with all others

If another institution is selected as the essential entity for IGT (in this case Entity 2; not HO which is the registered entity in the [IGT tool](#)) and it is allowed to make transactions in OTC derivatives with (all) other entities in the IGT group, then the relevant institutions have to be selected but not the “Generate Exemptions between all selected companies” option.

IGT - Exemptions related to intragroup transactions

Current selected company: IGT Company

Manage Transmissions Create new transmission

Create new transmission ...

Please select ...

The company selected by the reporter is the essential entity for IGT

Another company within the group is the essential entity for IGT

Company taking over clearing obligation (*): Entity 1

Group definition for FC-CPs according to article 3 EMIR: Art 3(2)a EMIR

Generate Exemptions between all selected companies

Select all entries ... De-select all entries ...

Please select from your corresponding companies

Select	Company name	ID-Type	Identifier	CP-Class	Country	Created at	Created by	Modified at	Modified by
<input checked="" type="checkbox"/>	Entity 1	LEI	UVG4AW173JDRNGMDX791	FC	AT	12.01.2016 14:27:26	igtlmax@gmx.at	13.01.2016 15:17:36	igtlmax@gmx.at
<input checked="" type="checkbox"/>	Entity 2	LEI	L1KYU4S2DP5PX3R3OJ59	FC	AT	12.01.2016 14:27:01	igtlmax@gmx.at	13.01.2016 15:17:48	igtlmax@gmx.at
<input checked="" type="checkbox"/>	Entity 3	LEI	5493000QDNC2KBOMG64	FC	AT	12.01.2016 14:27:46	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 4	LEI	549300SH26HSZVHUZX73	FC	AT	12.01.2016 14:28:10	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 5	LEI	549300D7LVT8E5OULG88	FC	DE	12.01.2016 14:28:50	igtlmax@gmx.at		
<input checked="" type="checkbox"/>	IGT Company	LEI	5299000LJ7E7HY8FR16	FC	AT	13.01.2016 15:18:43	igtlmax@gmx.at		

Generate Exemptions

Figure 34: CP pairs - other main entity with all other entities

To finalise, click the “Generate Exemptions” button and check whether the overview of IGT pairs within the IGT group is properly reflected.

Create new transmission ...

Please select ... The company selected by the reporter is the essential entity for IGT
 Another company within the group is the essential entity for IGT

Group definition for FC-CPs according to article 3 EMIR

Generate Exemptions between all selected companies

Select all entries ... De-select all entries ...

Please select from your corresponding companies

Select	Company name	ID- Type	Identifier	CP- Class	Country	Created at	Created by	Modified at	Modified by
<input checked="" type="checkbox"/>	Entity 1	LEI	UVG4AW173JDRNGM0X791	FC	AT	12.01.2016 14:27:26	igtmax@gmx.at	13.01.2016 15:17:36	igtmax@gmx.at
<input checked="" type="checkbox"/>	Entity 2	LEI	L1KYU4S2DP5PX3R3OJ59	FC	AT	12.01.2016 14:27:01	igtmax@gmx.at	13.01.2016 15:17:48	igtmax@gmx.at
<input checked="" type="checkbox"/>	Entity 3	LEI	5493000QDNC2KB0MG64	FC	AT	12.01.2016 14:27:46	igtmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 4	LEI	549300SH26HS2VHUZX73	FC	AT	12.01.2016 14:28:10	igtmax@gmx.at		
<input checked="" type="checkbox"/>	Entity 5	LEI	549300D7LVT8E5OULG98	FC	DE	12.01.2016 14:28:50	igtmax@gmx.at		
<input checked="" type="checkbox"/>	IGT Company	LEI	5299000LJ7E7HYI8FR16	FC	AT	13.01.2016 15:18:43	igtmax@gmx.at		

Figure 35: CP pairs - generate exemptions

If the counterparty pairs are reflected correctly, click the “Save” button to continue.

Pre-View exemptions

Company	CP- Class	Country Code	Other company	CP- Class With	Country Code	Group Definition	Legal Basis
IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Entity 1 [LEI - UVG4AW173JDRNGM0X791]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 1 [LEI - UVG4AW173JDRNGM0X791]	FC	AT	IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Entity 2 [LEI - L1KYU4S2DP5PX3R3OJ59]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 2 [LEI - L1KYU4S2DP5PX3R3OJ59]	FC	AT	IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Entity 3 [LEI - 5493000QDNC2KB0MG64]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 3 [LEI - 5493000QDNC2KB0MG64]	FC	AT	IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Entity 4 [LEI - 549300SH26HS2VHUZX73]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 4 [LEI - 549300SH26HS2VHUZX73]	FC	AT	IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HYI8FR16]	FC	AT	Entity 5 [LEI - 549300D7LVT8E5OULG98]	FC	DE	Art 3(2)a EMIR	Art 4(2)a EMIR

Figure 36: CP pairs - check & save

To get an overview of the data stored or to make changes to the data, select an option from the drop down menu under “Manage Transmissions”.

IGT - Exemptions related to intragroup transactions igtmax@gmx.at | IGT Company [5299000LJ7E7HYI8FR16] | My Account | Logout

IGT - Report exemptions from clearing obligation Current selected company: IGT Company

[Home](#)
[Reference data](#)
[Exemptions from clearing](#)

[Manage Transmissions](#) [Create new transmission](#)

Successfully stored the data!

Figure 37: Manage Transmissions

IGT - Exemptions related to intragroup transactions igtmax@gmx.at | IGT Company [5299000LJ7E7HYI8FR16] | My Account | Logout

IGT - Report exemptions from clearing obligation Current selected company: IGT Company

[Home](#)
[Reference data](#)
[Exemptions from clearing](#)

[Manage Transmissions](#) [Create new transmission](#)

Manage Transmissions ...

Please select the state of transmission ...

Figure 38: Manage Transmissions - select status

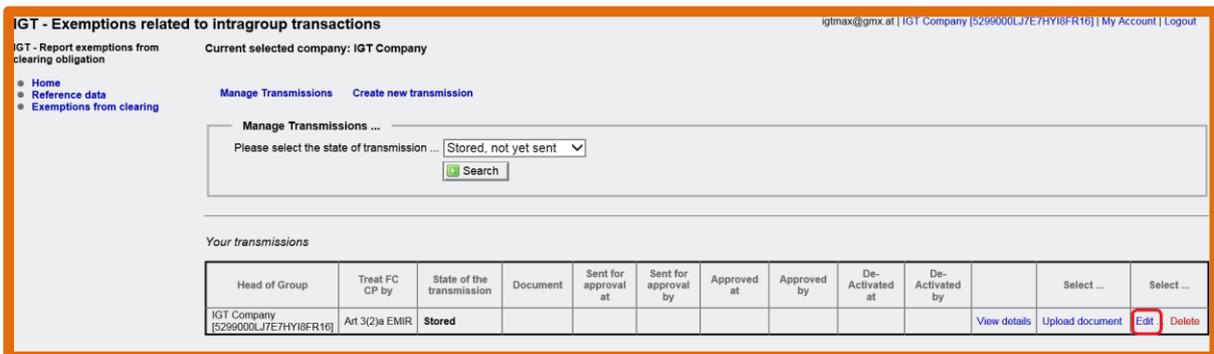
V.B.2. Manually add pairs

Counterparty pairs of entities within the group can also be added manually. To do so, select the “Exemptions from clearing” section and the “Manage Transmissions” link. Under “Manage transmissions”, the state of the transmission can be selected, e.g. “All States” or “Stored, not yet sent” and click on the “Search” button.



Figure 39: Manage transmissions - select status & search

To add a pair manually, select the “Edit” button.



Head of Group	Treat FC CP by	State of the transmission	Document	Sent for approval at	Sent for approval by	Approved at	Approved by	De-Activated at	De-Activated by	View details	Upload document	Edit	Delete
IGT Company [5299000LJ7E7HYI8FR16]	Art 3(2)a EMIR	Stored											

Figure 40: CP pairs manual entry

Select “Add a company to the group and pair manually” to add, delete or change an intragroup counterparty pair.

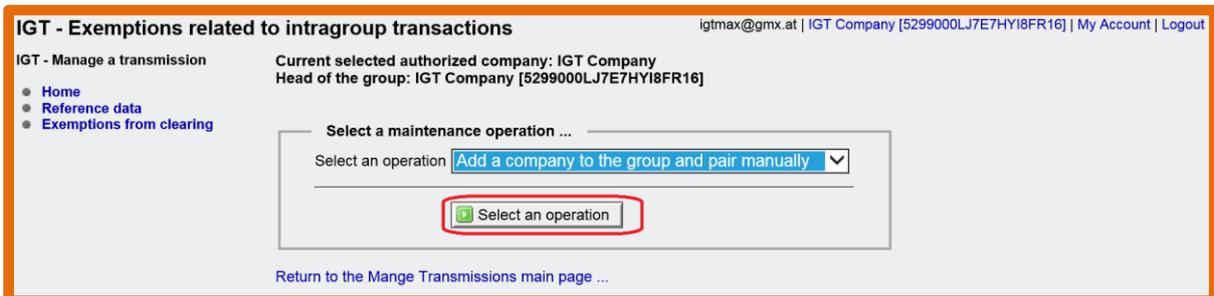


Figure 41: CP pairs manual entry - select operation

Enter the required information and click on the “Apply changes” button. Repeat this process as necessary to add any other counterparty pairs.

Figure 42: CP pairs manual entry - apply changes

Figure 43: CP pairs manual entry - confirmation

Click on the “Return to the Manage Transmissions main page” and “View details” links to verify the latest entry.

Head of Group	Treat FC CP by	State of the transmission	Document	Sent for approval at	Sent for approval by	Approved at	Approved by	De-Activated at	De-Activated by		Select ...	Select ...
IGT Company [5299000LJ7E7HY18FR16]	Art 3(2)a EMIR	Stored									View details	Upload document Edit Delete

Figure 44: CP pairs – entry overview

CompanyDesc	CP-Class	CountryCode	CompanyWithDesc	CP-Class With	CountryCodeWith	Treat CP by	Treat CT by
IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Entity 4 [LEI - 5493000SH26HSZVHUZX73]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 4 [LEI - 5493000SH26HSZVHUZX73]	FC	AT	IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Entity 1 [LEI - UVG4AW173JDRNGM0X791]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 1 [LEI - UVG4AW173JDRNGM0X791]	FC	AT	IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Entity 2 [LEI - L1KYU4S2DPSP3R3CJ5J]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 2 [LEI - L1KYU4S2DPSP3R3CJ5J]	FC	AT	IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Entity 3 [LEI - 5493000QDNC2KB0MG64]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR
Entity 3 [LEI - 5493000QDNC2KB0MG64]	FC	AT	IGT Company [LEI - 5299000LJ7E7HY18FR16]	FC	AT	Art 3(2)a EMIR	Art 4(2)a EMIR

Figure 45: CP pairs - overview

V.B.3. Remove a company

To remove a company from the IGT group, follow the process as described above (“Exemptions from clearing” / “Manage Transmissions” / select the state of transmission / “Edit”), then select “Remove Company from the group” and the company to be removed. Finally, click on “Apply changes” to confirm and repeat this process as necessary.

V.B.4. Delete the whole transmission

To delete the whole transmission stored in the [IGT tool](#), select “Exemptions from clearing”, then “Manage Transmissions” and the state of transmission. By clicking the “Delete” button, the transmission is deleted immediately.

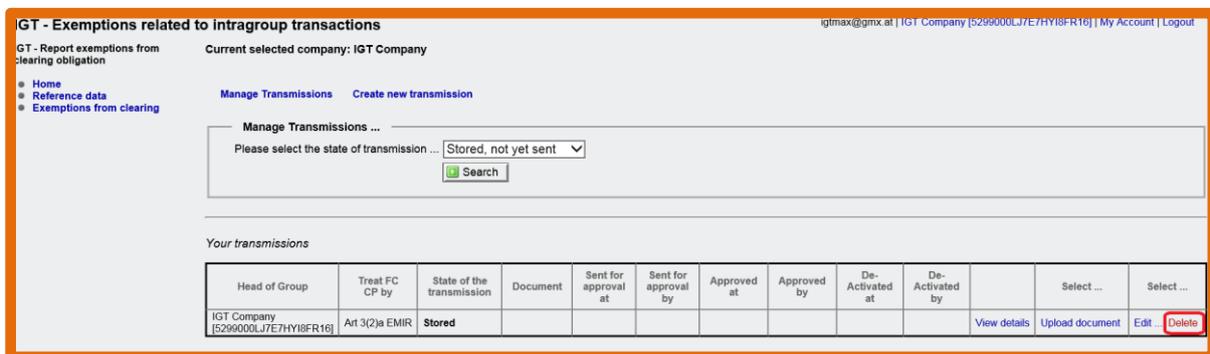


Figure 46: Delete a transmission

V.C. Attach the Risk Management document and send notification/application

Groups that want to benefit from a clearing exemption in accordance with Article 4 (2) EMIR have to demonstrate that the conditions laid down in Article 3 EMIR are fulfilled. For this reason, it is essential to describe the risk management processes within their group. This will be the basis for negotiations with other NCAs in case of cross-border groups and for the FMA’s decision whether to object to a notification or grant an application. To ensure a harmonised approach in assessing the required information, FMA has set up a [Clearing risk management template](#) that should be completed by the applicant and uploaded into the [IGT tool](#). The template can be found on the FMA website:

[Clearing risk management template](#)

Further information on the [Clearing risk management template](#) is attached in **VIII.C. Guide to the clearing exemption Risk Management (RM) Template.**

The [Clearing risk management template](#) shall contain the following:

- a) A **description of risk management policies**, including the evaluation and measurement of the aggregated risk and control policies or procedures in reference to such risk. This should include the description how these policies or procedures are centralised on group level and how these policies or procedures would be limited or compromised in their efficiency by the clearing obligation.
 The focus should be to determine whether there are appropriate centralised policies and procedures on group level according to the aggregated risk stemming from OTC contracts. This means that policies as well as related tasks, competencies, controls, and communication channels have to be clearly defined and coordinated in the IGT group.
 Additionally, there should be a description of appropriate processes for monitoring and communicating risks in the IGT group.
 Such description should be as detailed and relevant as is necessary for an informed decision on the appropriateness of the centralised risk management approach.
- b) A **description of how these policies and procedures are applied** consistently on group level to ensure compliance by all involved entities and to which extent these policies and procedures are subject to internal or external audits.
 This should include a description how internal and external audits ensure that these requirements are implemented throughout the group. A description should be made how the processes and procedures safeguard that the processes or procedures are implemented.
- c) A **description of the way that key risk information is regularly reported** to the central risk management function to enable an appropriate centralised evaluation, measurement and control of risks across the relevant group entities and to which extend appropriate reporting lines to senior management exist.

The contents of the [Clearing risk management template](#) include the requirements of Article 3 EMIR and the specification of ESMA which is summarised in the ESMA Q&A OTC 6d:

[Clearing ESMA Q&A OTC](#)

It is sufficient to provide the information in the [Clearing risk management template](#) only once for the group. If there are different procedures for certain pairs within the group (e.g. different risk management procedures between the essential entity for IGT and NFCs within the group) please describe the information requested in the template additionally. This information has to be provided in section II.B. of the [Clearing risk management template](#).

Provide at least the following information for the IGT group:

1. describe the risk management policies and controls and how they are centrally defined and applied;
2. demonstrate that senior management is responsible for risk management and that risk measurement is regularly reviewed;
3. demonstrate that regular and transparent communication mechanisms are established within the organization, so that the management body, senior management, business lines, the risk management function, and other control functions can all share information about risk measurement, analysis, and monitoring;
4. demonstrate that internal procedures and information systems are consistent throughout the institution and reliable so that all sources of relevant risks can be identified, measured, and monitored on an aggregated basis and also, to the extent necessary, by entity, business line, and portfolio;
5. demonstrate that key risk information is regularly reported to the central risk management function to enable appropriate centralised evaluation, measurement and control risk across the relevant group entities.

If a notification under Article 4(2)(a) relates to intragroup transactions between counter-parties established in different Member States, it is expected that similar information is sent to the respective competent authorities. Please note that the process of applying or notifying could be different in other member states. Nevertheless, it is expected that information provided to FMA and other NCAs should be consistent.

It should be noted that the information required in the [Clearing risk management template](#) is only relating to the IGT group. This means that the required conditions in Article 3 EMIR are only necessary for the entities in the group which want to benefit from an exemption from clearing according to Article 4(2) EMIR.

The completed [Clearing risk management template](#) has to be uploaded into the [IGT tool](#) by selecting “Exemptions from clearing” and “Upload document”.

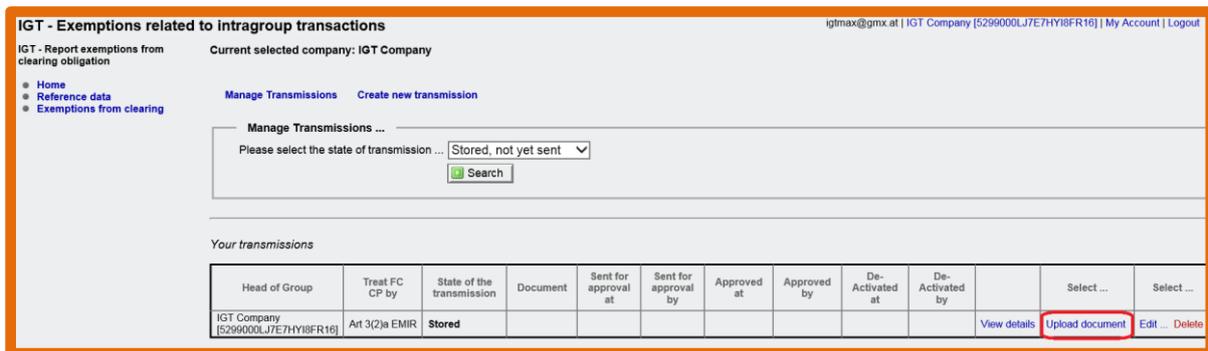


Figure 47: Upload risk management document (clearing)

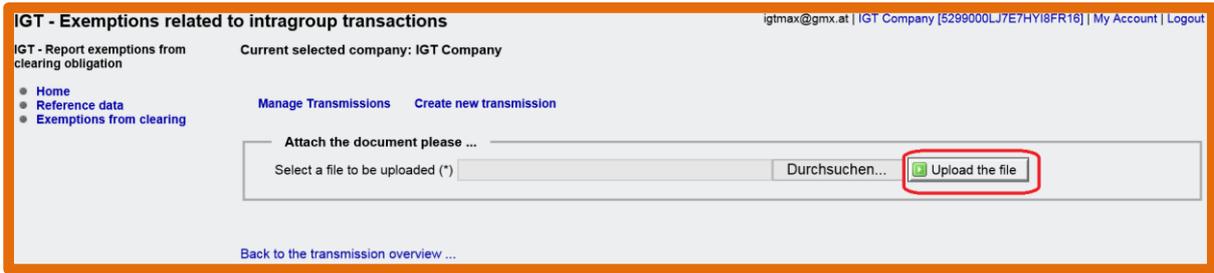


Figure 48: Upload submission (clearing)

Please note that the [Clearing risk management template](#) can only be submitted in a pdf format with a maximum file size of 15 MB. A notification will show if & when the upload was successful.



Figure 49: Upload successful (clearing)

Submissions can be checked by selecting the “Back to the transmission overview” and “View document” buttons before finalising notifications/applications by clicking on the “Send for approval” button.

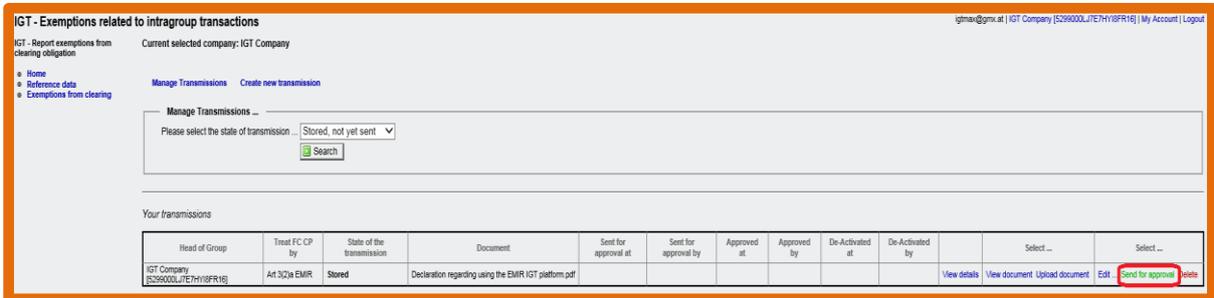


Figure 50: Submission (clearing)



Figure 51: Submission (clearing) - send for approval

The notification/application is now marked with a timestamp which triggers FMA’s 30 days timeframe according to Article 4(2) EMIR to object to the notification or to approve the

application. An overview of the dates can be accessed by selecting “Exemptions from clearing” / “Manage Transmission” / “All states” or “Sent for approval”.

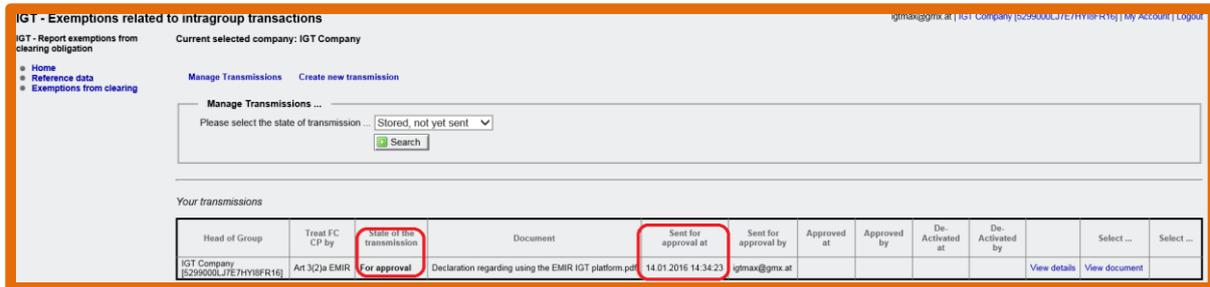


Figure 52: Submission (clearing) - status

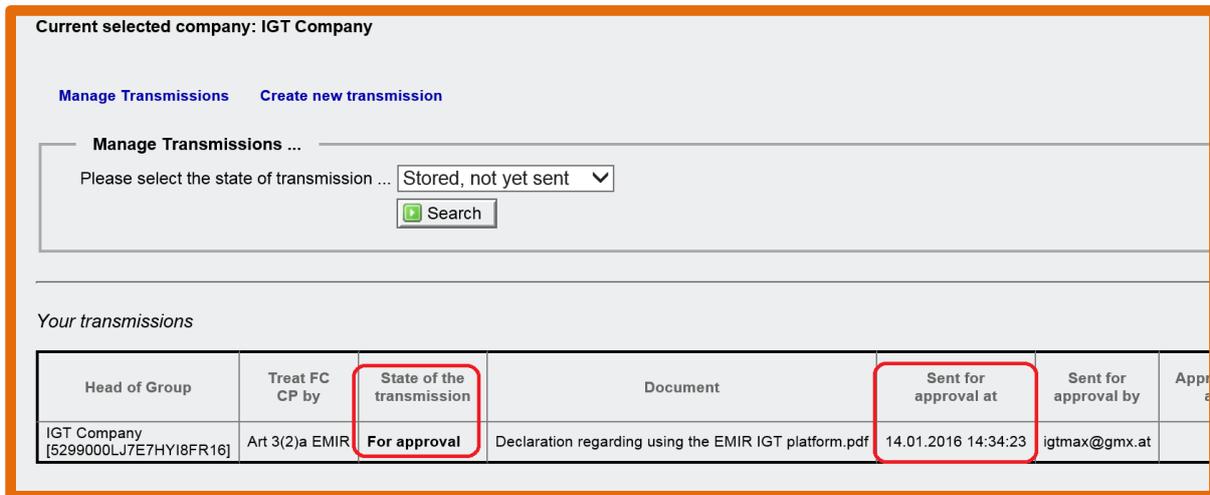


Figure 53: Submission (clearing) - timeframe

The subsequent workflow (approval by FMA) between the applicant and FMA is described in section **V.D.** below.

V.D. Workflow between applicant and FMA

After the submission in the [IGT tool](#), FMA reviews the notification/application as to whether the conditions laid down in Article 3 EMIR are fulfilled. In case of cross-border IGT groups, FMA additionally has to come to a joint opinion with the relevant national competent authorities of other involved member states. If there are no objections against the exemption from clearing, FMA will approve the transmission and an automated email information will be sent to the applicant.

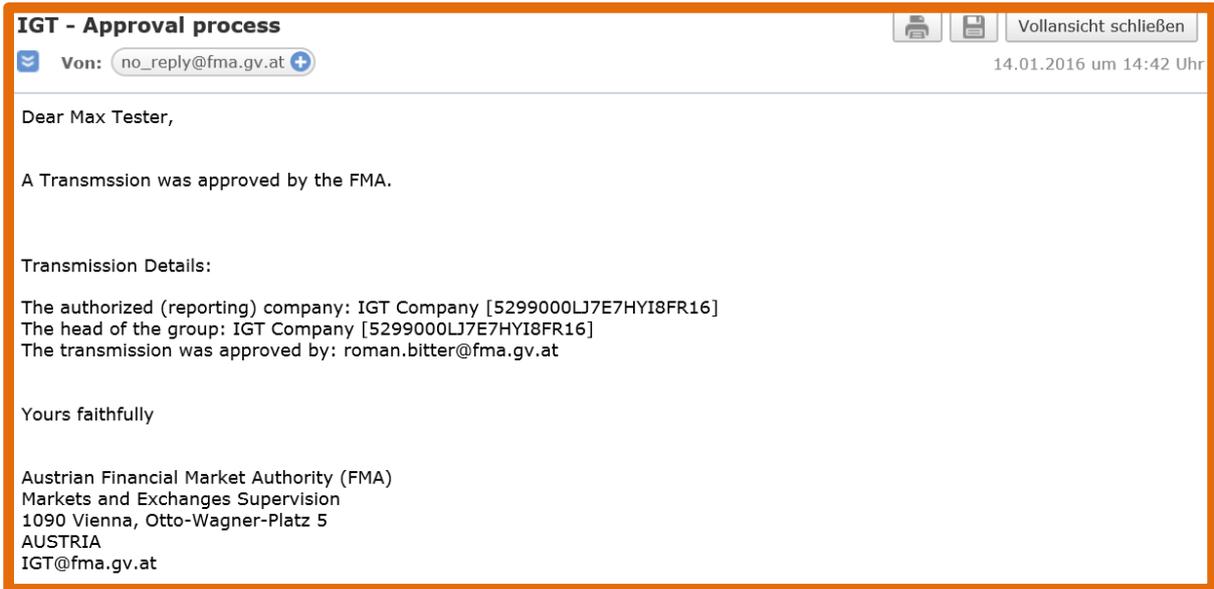


Figure 54: Clearing exemption - confirmation of approval

Please note the following:

FMA will contact the applicant prior to its decision in order to resolve any misunderstandings, to request additional information or to discuss the reasons for the proposed FMA decision.

In the [IGT tool](#), the transmission status will be displayed when selecting the “Exemptions from clearing” menu. Under “Manage transmissions”, the state of the transmission can be selected, e.g. “All States” or “Approved by FMA”. In case the IGT exemption is accepted or granted (as the case may be), FMA will issue an official notification (“Bescheid”) that the IGT group is allowed to benefit from the clearing exemption. A fee of EUR 2,000 will be charged pursuant to “2. Abschnitt - Besondere Gebühren –Rechnungskreis 3 - III.G.8. of FMA Gebührenverordnung”.

[Austrian Fees Regulation](#)

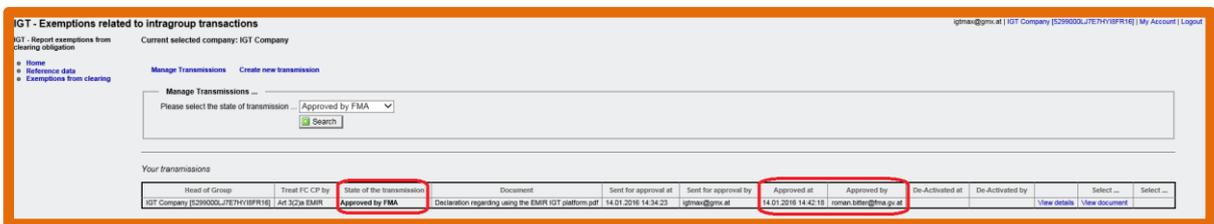


Figure 55: Clearing exemption - status

Current selected company: IGT Company

Manage Transmissions Create new transmission

Manage Transmissions ...

Please select the state of transmission ... Approved by FMA ▼

Your transmissions

Head of Group	Treat FC CP by	State of the transmission	Document	Sent for approval at	Sent for approval by	Approved at	Approved by	Ac
IGT Company [5299000LJ7E7HY18FR16]	Art 3(2)a EMIR	Approved by FMA	Declaration regarding using the EMIR IGT platform.pdf	14.01.2016 14:34:23	igtmax@gmx.at	14.01.2016 14:42:18	roman.bitter@fma.gv.at	

Figure 56: Clearing exemption - status details

In case of a negative opinion by FMA (and the other relevant national competent authorities), the applicant will receive an automated notification email and an official notification (“Bescheid”) of FMA. Also in this case, official notification charges in the amount of EUR 2,000 will be payable pursuant to “2. Abschnitt - Besondere Gebühren - Rechnungskreis 3 - III.G.8. of FMA Gebührenverordnung”.

[Austrian Fees Regulation](#)

VI. Exemption from the collateral exchange obligation

In contrast to the application for an exemption of the clearing obligation, no reference data upload is required for an exemption application regarding the collateral exchange obligation. Applications for exemptions from the collateral exchange obligation must be submitted via the [IGT tool](#) (see above section IV. **Access to IGT tool** for information on how to request access).

VI.A. Creation of a transmission

A transmission can contain a number of applications and notifications of pairs of a group's legal entities.

To create a new transmission, select section "Exemptions from collateral exchange" and then "Add transmission (upload csv)".



Figure 57: Request an exemption for collateral exchange

VI.A.1. Upload CSV

The following input screen shall be used to upload the csv file:

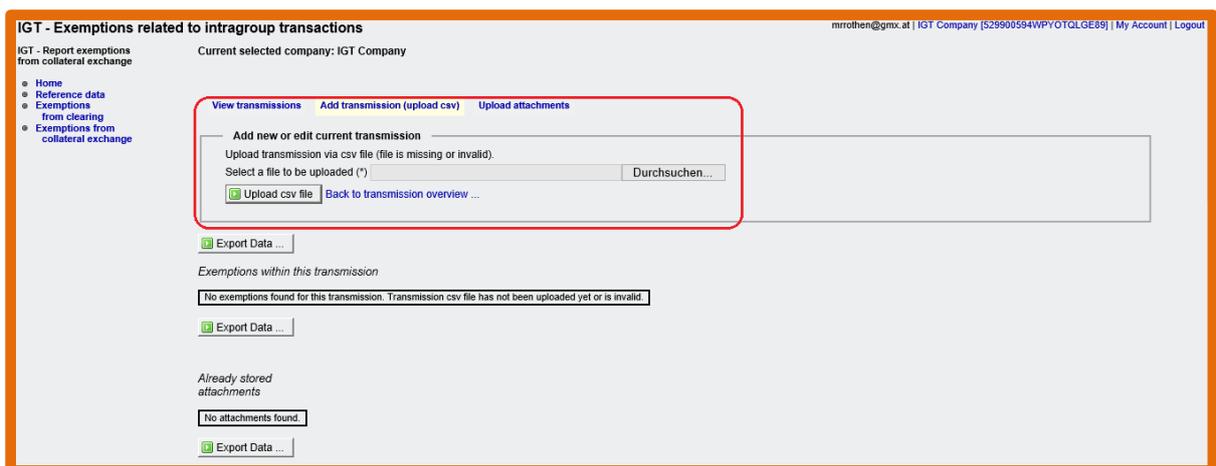


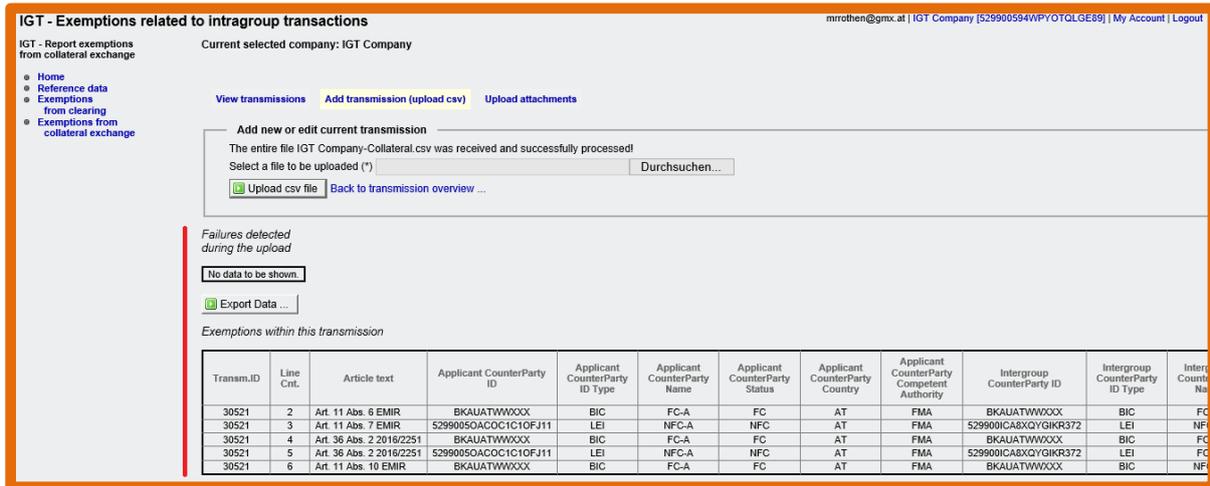
Figure 58: Collateral exemption input screen

A csv file template to be used for the counterparty pair upload is provided on FMA's website:

[Collateral csv file template](#)

A table with field definitions can be found in **VIII.E. Field definition for CSV-File**.

After clicking on "Upload csv file", an overview of the counterparty pairs will be displayed as well as any possible upload errors.



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' interface. The current selected company is 'IGT Company'. The interface includes a navigation menu on the left with options like 'Home', 'Reference data', 'Exemptions from clearing', and 'Exemptions from collateral exchange'. The main area displays a message: 'The entire file IGT Company-Collateral.csv was received and successfully processed!'. Below this, there is a search box for file uploads and an 'Upload csv file' button. A section titled 'Failures detected during the upload' shows 'No data to be shown'. The main part of the interface is a table titled 'Exemptions within this transmission' with the following data:

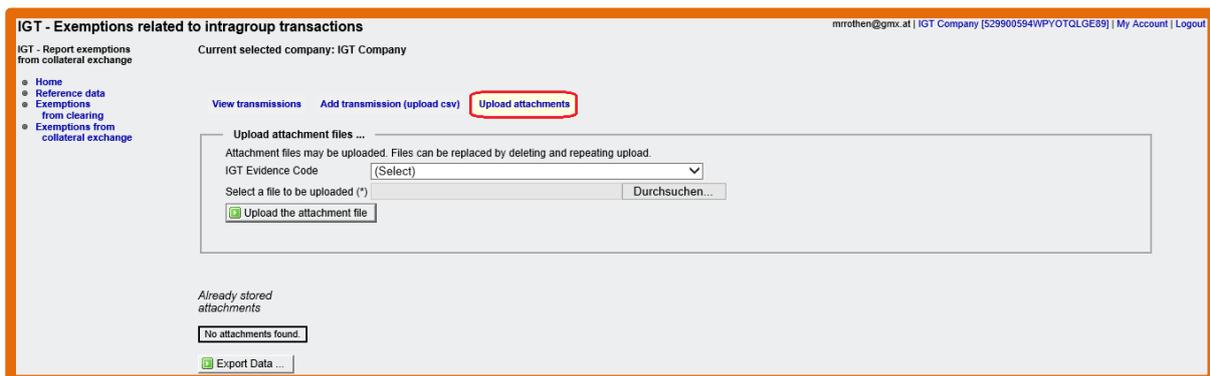
Transm.ID	Line Cnt.	Article text	Applicant CounterParty ID	Applicant CounterParty ID Type	Applicant CounterParty Name	Applicant CounterParty Status	Applicant CounterParty Country	Applicant CounterParty Competent Authority	Intergroup CounterParty ID	Intergroup CounterParty ID Type	Intergroup CounterParty Name
30521	2	Art. 11 Abs. 6 EMIR	BKAUATWXXX	BIC	FC-A	FC	AT	FMA	BKAUATWXXX	BIC	FC
30521	3	Art. 11 Abs. 7 EMIR	S299005QACOC1C10FJ11	LEI	NFC-A	NFC	AT	FMA	S299005QACOC1C10FJ11	LEI	NFC
30521	4	Art. 36 Abs. 2 2016/2251	BKAUATWXXX	BIC	FC-A	FC	AT	FMA	BKAUATWXXX	BIC	FC
30521	5	Art. 36 Abs. 2 2016/2251	S299005QACOC1C10FJ11	LEI	NFC-A	NFC	AT	FMA	S299005QACOC1C10FJ11	LEI	NFC
30521	6	Art. 11 Abs. 10 EMIR	BKAUATWXXX	BIC	FC-A	FC	AT	FMA	BKAUATWXXX	BIC	NFC

Figure 59: Collateral exemption - counterparty pairs

If the check of uploaded data reveals any errors, this can be easily be adjusted by uploading a revised csv file.

VI.A.2. Upload attachments

The next step is to upload the relevant documents (attachments).



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' interface. The current selected company is 'IGT Company'. The interface includes a navigation menu on the left with options like 'Home', 'Reference data', 'Exemptions from clearing', and 'Exemptions from collateral exchange'. The main area displays a section titled 'Upload attachment files ...'. Below this, there is a message: 'Attachment files may be uploaded. Files can be replaced by deleting and repeating upload.' There is a dropdown menu for 'IGT Evidence Code' and a search box for file uploads. An 'Upload the attachment file' button is visible. A section titled 'Already stored attachments' shows 'No attachments found'.

Figure 60: Collateral exemption - upload attachments

For each uploaded document, the correct IGT evidence code has to be selected. Templates for the different document categories can be found on the FMA website:

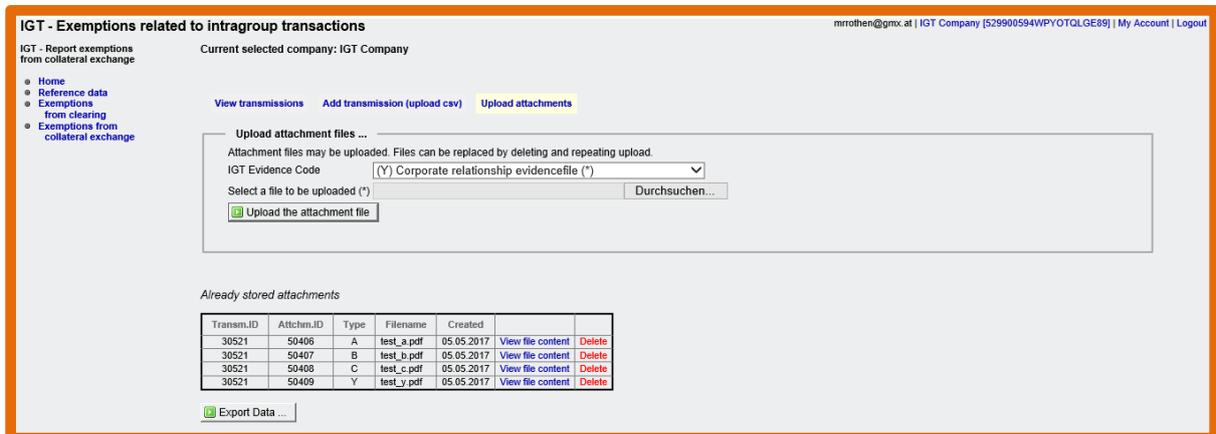
Collateralisation of Intra-Group Transactions
Collateral Annex A template
Collateral Annex B template
Collateral Annex C template
Collateral Annex Y template
Collateral Annex Z template

IGT Evidence Codes:

- A* = Copies of documented risk management procedures
- B* = Historical transaction information
- C* = Copies of the relevant contracts between the parties
- D = Legal Opinion
- Y* = Corporate relationship evidence file
- Z = Other

* marks mandatory documents

Possible file types: PDF and ZIP (max. file size 15 MB; max. file name length: 64 signs)



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' web interface. The current selected company is 'IGT Company'. The interface includes a navigation menu on the left with options like 'Home', 'Reference data', 'Exemptions from clearing', and 'Exemptions from collateral exchange'. The main content area has tabs for 'View transmissions', 'Add transmission (upload csv)', and 'Upload attachments'. The 'Upload attachments' section contains a form with the following fields:

- 'Upload attachment files ...' (text input)
- 'Attachment files may be uploaded. Files can be replaced by deleting and repeating upload.'
- 'IGT Evidence Code' dropdown menu with '(Y) Corporate relationship evidencefile (*)' selected.
- 'Select a file to be uploaded (*)' with a 'Durchsuchen...' button.
- 'Upload the attachment file' button.

Below the form, there is a table titled 'Already stored attachments' with the following data:

Transm.ID	Attchm.ID	Type	Filename	Created	View file content	Delete
30521	50406	A	test_a.pdf	05.05.2017	View file content	Delete
30521	50407	B	test_b.pdf	05.05.2017	View file content	Delete
30521	50408	C	test_c.pdf	05.05.2017	View file content	Delete
30521	50409	Y	test_y.pdf	05.05.2017	View file content	Delete

At the bottom of the interface, there is an 'Export Data ...' button.

Figure 61: Collateral exemption - file upload

VI.A.3. Delete the whole transmission

To delete a whole transmission before submitting it to FMA, click on the “Delete” button in section “View transmission”.



Figure 62: Collateral exemption - delete transmission

VI.A.4. Submit transmission to FMA

Once all mandatory documents are attached to the transmission in the [IGT tool](#), select the “Submit” button in section “View transmissions”.



Figure 63: Collateral exemption - submit

After submitting the transmission to FMA, no further adjustments in the transmission are possible.

VI.B. Workflow between applicant and FMA

As long as the applicant gathers transmission information [IGT tool](#), the transmission’s status in the [IGT tool](#) will show as “In preparation”. Upon submission to FMA, the status will change to “Submitted”. Subsequent status messages for the application will be displayed as “Data complete”, “Approved” or “Rejected”.



Figure 64: Collateral exemption - status "Submitted"

After the notification/application was submitted, FMA will perform a completeness check and, if successful, set the transmission to status “Data complete”.

To review the current status of a transmission, select the "View transmissions" section.



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' interface. The current selected company is 'IGT Company'. The 'View transmissions' section is active. Below it, a table lists previous and current transmissions. The first entry has a status of 'Data complete'.

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017		mrothen@gmx.at	4	Data complete	View csv content	View transm. details		

Figure 65: Collateral exemption - status update

Following the completeness information, FMA will check the submitted information in detail to verify whether all requirements to grant permission for an exemption from the collateral exchange obligation are met.

In case of cross-border IGT groups, FMA additionally has to come to a joint opinion with the relevant national competent authorities of other involved EU member states. In case the IGT exemption is granted or accepted (as the case may be), FMA will issue an official notification ("Bescheid") that the IGT group is allowed to benefit from the exemption from the collateral exchange obligation. A fee of EUR 2,000 will be charged pursuant to "2. Abschnitt - Besondere Gebühren – Rechnungskreis 3 - III.G.1. of FMA Gebührenverordnung".

[Austrian Fees Regulation](#)

FMA will contact the applicant prior to its decision in order to resolve any misunderstandings, to request additional information or to discuss the reasons for the proposed FMA decision.

In the [IGT tool](#), the transmission status will can be reviewed in the "View transmissions" section; in case of a positive opinion, the status will be set to "Approved".



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' interface. The current selected company is 'IGT Company'. The 'View transmissions' section is active. Below it, a table lists previous and current transmissions. The first entry has a status of 'Approved'.

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017	05.05.2017	mrothen@gmx.at	4	Approved	View csv content	View transm. details		

Figure 66: Collateral exemption - status "Approved"

In case of a negative opinion by FMA (and the other relevant national competent authorities), the applicant will receive an automated notification email and an official notification (“Bescheid”) of FMA. Also in this case, official notification charges in the amount of EUR 2,000 will be payable pursuant to “2. Abschnitt - Besondere Gebühren - Rechnungskreis 3 - III.G.1. of FMA Gebührenverordnung”.

[Austrian Fees Regulation](#)

In the [IGT tool](#), the transmission status will show as “Rejected”.



The screenshot shows the 'IGT - Exemptions related to intragroup transactions' interface. The current selected company is 'IGT Company'. The interface includes a navigation menu on the left with options like 'Home', 'Reference data', 'Exemptions from clearing', and 'Exemptions from collateral exchange'. The main area displays 'Previous and current transmissions' with a table containing one entry:

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017	05.05.2017	mrothen@gmx.at	4	Rejected	View csv content	View transm. details		

Figure 67: Collateral exemption - status "Rejected"

VII. Exemption from the reporting obligation

In contrast to the application for an exemption of the clearing obligation, no reference data upload is required for an exemption application regarding the intragroup transaction reporting obligation. Applications for exemptions from the reporting obligation must be submitted via the [IGT tool](#) (see above section IV. **Access to IGT tool** for information on how to request access).

VII.A. Creation of a transmission

A transmission can contain a number of applications and notifications of pairs of a group's legal entities.

[Reporting csv file template](#)

To create a new transmission, select section "Exemptions from reporting" and then "Add transmission (upload csv)".

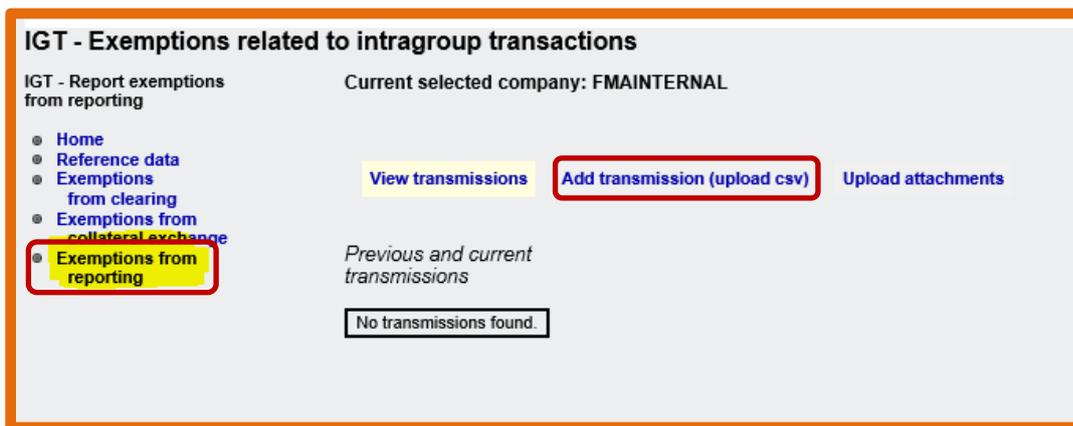


Figure 68: Request an exemption from reporting

VII.A.1. Upload CSV

The following input screen shall be used to upload the [reporting csv file](#):

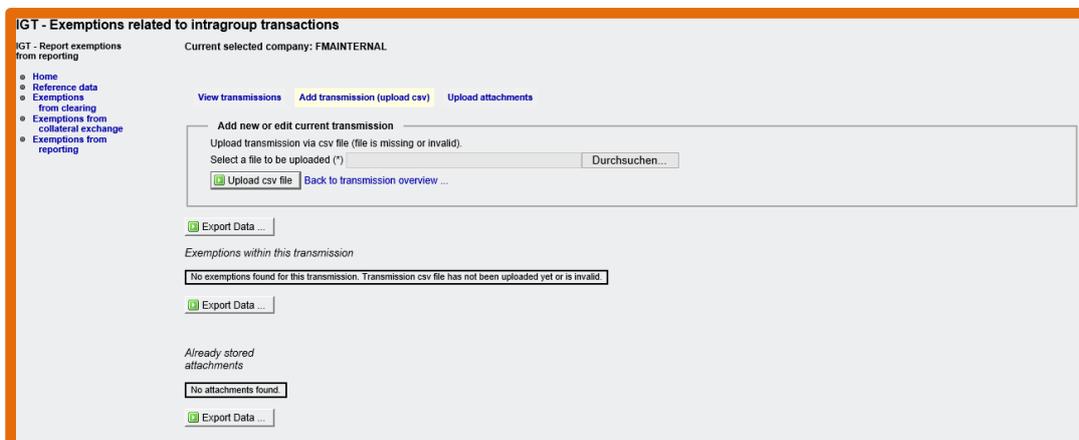
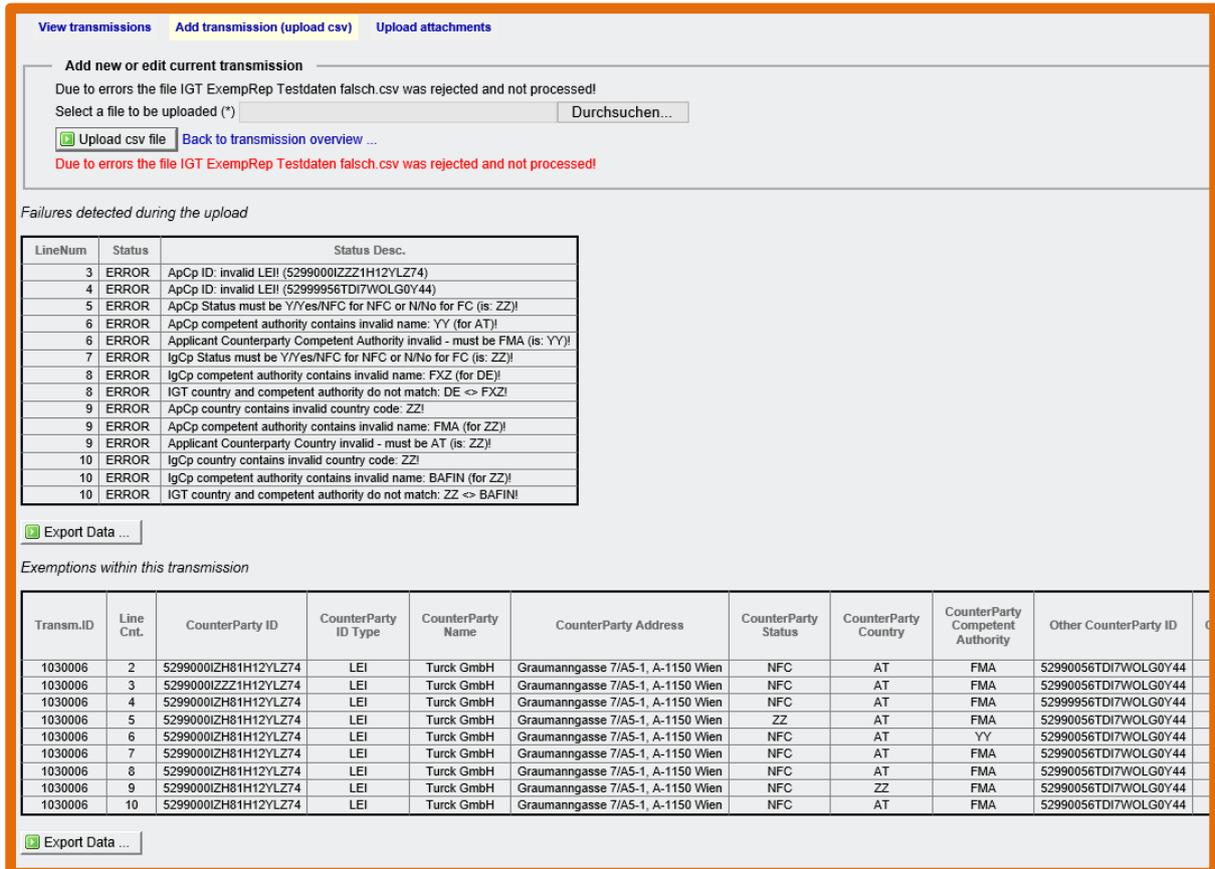


Figure 69: Reporting exemption input screen

The [Reporting csv file template](#) to be used for the counterparty pair upload is provided on FMA's website:

[Reporting csv file template](#)

After clicking on "Upload csv file", an overview the counterparty pairs will be displayed as well as any possible upload errors.



The screenshot shows the 'Add new or edit current transmission' section with a message: 'Due to errors the file IGT ExempRep Testdaten falsch.csv was rejected and not processed!'. Below this is a file selection area with a search button 'Durchsuchen...'. A red error message states: 'Due to errors the file IGT ExempRep Testdaten falsch.csv was rejected and not processed!'. The 'Failures detected during the upload' section contains a table of errors:

LineNum	Status	Status Desc.
3	ERROR	ApCp ID: invalid LEI! (52990001ZZZ1H12YLZ74)
4	ERROR	ApCp ID: invalid LEI! (52999956TDI7WOLG0Y44)
5	ERROR	ApCp Status must be Y/Yes/NFC for NFC or N/No for FC (is: ZZ)!
6	ERROR	ApCp competent authority contains invalid name: YY (for AT)!
6	ERROR	Applicant Counterparty Competent Authority invalid - must be FMA (is: YY)!
7	ERROR	IgCp Status must be Y/Yes/NFC for NFC or N/No for FC (is: ZZ)!
8	ERROR	IgCp competent authority contains invalid name: FXZ (for DE)!
8	ERROR	IGT country and competent authority do not match: DE <-> FXZ!
9	ERROR	ApCp country contains invalid country code: ZZ!
9	ERROR	ApCp competent authority contains invalid name: FMA (for ZZ)!
9	ERROR	Applicant Counterparty Country invalid - must be AT (is: ZZ)!
10	ERROR	IgCp country contains invalid country code: ZZ!
10	ERROR	IgCp competent authority contains invalid name: BAFIN (for ZZ)!
10	ERROR	IGT country and competent authority do not match: ZZ <-> BAFIN!

Below the error table is an 'Export Data ...' button. The 'Exemptions within this transmission' section contains a table of counterparty pairs:

Transm.ID	Line Cnt.	CounterParty ID	CounterParty ID Type	CounterParty Name	CounterParty Address	CounterParty Status	CounterParty Country	CounterParty Competent Authority	Other CounterParty ID
1030006	2	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52990056TDI7WOLG0Y44
1030006	3	52990001ZZZ1H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52990056TDI7WOLG0Y44
1030006	4	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52999956TDI7WOLG0Y44
1030006	5	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	ZZ	AT	FMA	52990056TDI7WOLG0Y44
1030006	6	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	YY	52990056TDI7WOLG0Y44
1030006	7	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52990056TDI7WOLG0Y44
1030006	8	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52990056TDI7WOLG0Y44
1030006	9	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	ZZ	FMA	52990056TDI7WOLG0Y44
1030006	10	52990001ZH81H12YLZ74	LEI	Turck GmbH	Graumanngasse 7/A5-1, A-1150 Wien	NFC	AT	FMA	52990056TDI7WOLG0Y44

Below the exemption table is another 'Export Data ...' button.

Figure 70: Reporting exemption - counterparty pairs (with errors)

If the check of uploaded data reveals any errors, this can be easily be adjusted by uploading a revised csv file per the process described above.

VII.A.2. Upload attachments

The next step is to upload the relevant documents (attachments).

[Reporting exemption notification](#)

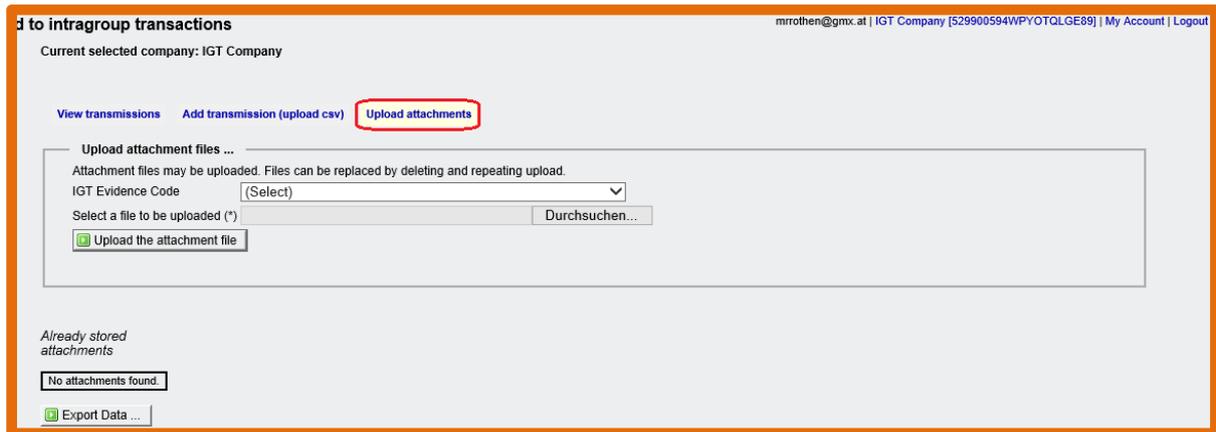


Figure 71: Reporting exemption - upload attachments

For each uploaded document, the correct IGT evidence code has to be selected. IGT Evidence Code:

- 1A* = General notification form (aka [Reporting exemption notification](#))
- 1C = Organisational chart
- 2A1 = Annex Centralised risk management procedures
- 2A2 = Annex Senior management
- 2A3 = Annex Transparency communication mechanisms

* marks mandatory documents

A template of the [Reporting exemption notification](#) (1A) can be found at the FMA website:

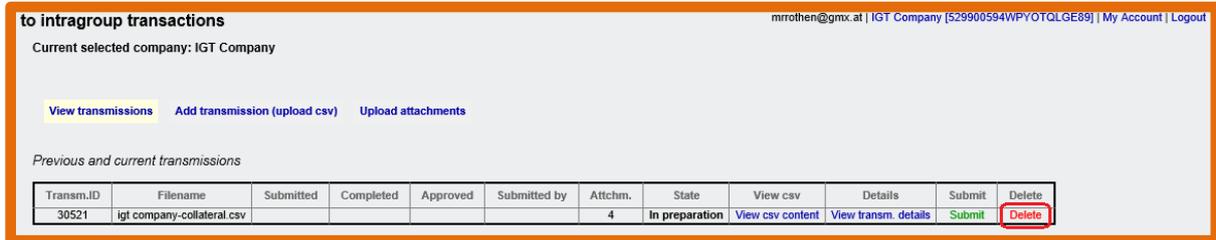
[Reporting exemption notification](#)

More detailed information can be uploaded as annexes 2A1 to 2A3.

Possible file types: pdf, txt, csv, doc/docx, xls/xlsx, jpg/jpeg, gif, tif/tiff, png. Maximum size per document is 15 MB.

VII.A.3. Delete the whole transmission

To delete a whole transmission before submitting it FMA, click on the “Delete” button in section “View transmission”.



to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

Current selected company: IGT Company

[View transmissions](#) [Add transmission \(upload csv\)](#) [Upload attachments](#)

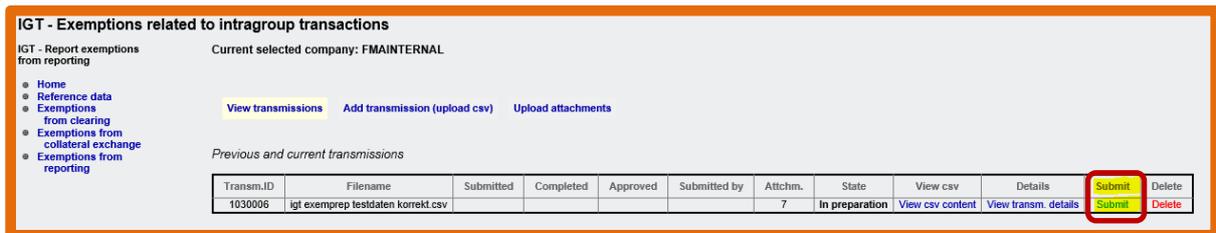
Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv					4	In preparation	View csv content	View transm. details	Submit	Delete

Figure 72: Reporting exemption - delete transmission

VII.A.4. Submit transmission to FMA

Once all mandatory documents are attached to the transmission in the [IGT tool](#), select the “Submit” button in section “View transmissions” and confirm the submission.



IGT - Exemptions related to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

IGT - Report exemptions from reporting Current selected company: FMAINTERNAL

- Home
- Reference data
- Exemptions from clearing
- Exemptions from collateral exchange
- Exemptions from reporting

[View transmissions](#) [Add transmission \(upload csv\)](#) [Upload attachments](#)

Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
1030006	igt exemprep testdaten korrekt.csv					7	In preparation	View csv content	View transm. details	Submit	Delete

Figure 73: Reporting exemption - submit

After submitting the transmission to FMA, no further adjustments in the transmission are possible.

VII.B. Workflow between applicant and FMA

As long as the applicant gathers transmission information, the transmission’s status in the [IGT tool](#) will show as “In preparation”. Upon submission to FMA, the status will change to “Submitted”. Subsequent status messages for the application will be displayed as “Data complete”, “Approved” or “Rejected”.



IGT - Exemptions related to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

IGT - Report exemptions from collateral exchange Current selected company: IGT Company

- Home
- Reference data
- Exemptions from clearing
- Exemptions from collateral exchange

[View transmissions](#) [Add transmission \(upload csv\)](#) [Upload attachments](#)

Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017			mrothen@gmx.at	4	Submitted	View csv content	View transm. details		

Figure 74: Reporting exemption - status "Submitted"

After the notification/application was submitted, FMA will perform a completeness check and, if successful, set the transmission to status “Data complete”.

To review the current status of a transmission, select the “View transmissions” section.



to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

Current selected company: IGT Company

[View transmissions](#) [Add transmission \(upload csv\)](#) [Upload attachments](#)

Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017		mrothen@gmx.at	4	Data complete	View csv content	View transm. details		

Figure 75: Reporting exemption - status update

Following the completeness information, FMA will check the submitted information in detail to verify whether all requirements to grant permission for an exemption from the reporting obligation are met.

In case the IGT exemption is granted, FMA will issue an official notification (“Bescheid”) that the applicant IGT group is allowed to benefit from the reporting exemption. FMA highlights that a fee of EUR 2,000 will be charged pursuant to “2. Abschnitt - Besondere Gebühren – Rechnungskreis 3 - III.G.9. of FMA Gebührenverordnung”.

[Austrian Fees Regulation](#)

FMA will contact the applicant prior to its decision in order to resolve any misunderstandings or to request additional information. In the [IGT tool](#), the transmission status can be reviewed in the “View transmissions” section; in case of a positive opinion, the status will be set to “Approved”.



to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

Current selected company: IGT Company

[View transmissions](#) [Add transmission \(upload csv\)](#) [Upload attachments](#)

Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017	05.05.2017	mrothen@gmx.at	4	Approved	View csv content	View transm. details		

Figure 76: Reporting exemption - status "Approved"

In case of a negative opinion by FMA, the applicant will receive an automated notification email and an official notification (“Bescheid”) of FMA. Also in this case, official notification charges in the amount of EUR 2,000 will be payable pursuant to “2. Abschnitt - Besondere Gebühren - Rechnungskreis 3 - III.G.9. of FMA Gebührenverordnung”.

[Austrian Fees Regulation](#)

In the [IGT tool](#), the transmission status will show as "Rejected". A new application can be submitted by the applicant.

to intragroup transactions mrothen@gmx.at | IGT Company [529900594WPYOTQLGE89] | My Account | Logout

Current selected company: IGT Company

[View transmissions](#)
[Add transmission \(upload csv\)](#)
[Upload attachments](#)

Previous and current transmissions

Transm.ID	Filename	Submitted	Completed	Approved	Submitted by	Attchm.	State	View csv	Details	Submit	Delete
30521	igt company-collateral.csv	05.05.2017	05.05.2017	05.05.2017	mrothen@gmx.at	4	Rejected	View csv content	View transm. details		

Figure 77: Reporting exemption - status "Rejected"

VIII. Annex

VIII.A. Example of an IGT tool declaration

I. Please provide details on the group's parent undertaking.

Group parent undertaking	
Company Name:	Click or tap here to enter parent undertaking's name.
LEI:	Click or tap here to enter parent undertaking's name.

II. Please provide details on the company applying for IGT tool access (if different to I.).

Company applying for IGT tool access	
Company Name:	Click or tap here to enter applying company's name.
LEI:	Click or tap here to enter applying company's name.

III. Please provide contact details on the person applying for IGT tool access.

Contact details on person applying for access to IGT tool	
Name:	Click or tap here to enter applying person's name.
Position:	Click or tap here to enter applying person's position.
Email:	Click or tap here to enter applying person's email address.
Phone:	Click or tap here to enter applying person's phone number.

IV. Please provide contact details on the person with power of representation (authorised signatory) of the company applying for IGT tool access.

Contact details on person with power of representation (authorised signatory)	
Name:	Click or tap here to enter authorised signatory's name.
Position:	Click or tap here to enter authorised signatory's position.
Email:	Click or tap here to enter authorised signatory's email address.
Phone:	Click or tap here to enter authorised signatory's phone number.

Click or tap here to enter place & date.	
Applying person's <small>(see III.)</small> signature	Authorised signatory's <small>(see IV.)</small> signature

VIII.B. Example of a CSV File for exemption IGT clearing

For the notification of an exemption of IGT clearing:

Name	LEI/BIC	Identifier	NFC/FC	Sitzland
HO XY-Bank	LEI	EVOYOND2GGP3UHGGE885	FC	AT
XY-SPV	LEI	123456789101234000000	FC	AT
XY-Sub-Bank 1	LEI	529900UNUKYZ9HND3309	FC	IR
XY-Sub-Bank 2	LEI	529900N2ZB1B52JB2F83	FC	RU

The separator used is semicolon!

For the notification of an exemption of IGT clearing:

Intragroup Pair	IGT counterparty name	IGT counterparty LEI	IGT counterparty registered address	IGT counterparty country of establishment (AT)	IGT counterparty status (FC/NFC)	IGT counterparty Competent Authority (FMA)	Other IGT counterparty name	Other IGT counterparty LEI	Other IGT counterparty registered address	Other IGT counterparty country of establishment (e.g. DE)	Other IGT counterparty status (FC/NFC/TCEFC/TCENFC)	Other IGT counterparty Competent Authority
Intragroup Pair 1												
Intragroup Pair 2												
Intragroup Pair 3												
Intragroup Pair 4												
Intragroup Pair 5												
Intragroup Pair 6												
Intragroup Pair 7												
Intragroup Pair 8												
Intragroup Pair 9												
Intragroup Pair 10												
Intragroup Pair 11												
Intragroup Pair 12												
Intragroup Pair 13												
Intragroup Pair 14												
Intragroup Pair 15												
Intragroup Pair 16												
Intragroup Pair 17												
Intragroup Pair 18												
Intragroup Pair 19												
Intragroup Pair 20												

VIII.C. Guide to the clearing exemption Risk Management (RM) Template

The information structure below reflects the chapters in the [Clearing risk management template](#). Please note that not all sections might be relevant depending on the type of notification / application intended to be submitted.

I. Identification of the Group

Please provide details on all group entities involved in the notification / application at hand. The email address used for the [IGT tool](#) registration shall be stated under “email/IGT User ID”. Please note that information on the involved national competent authorities is essential for FMA in order to coordinate the consultation process regarding notifications/applications with these NCAs.

A. National competent authority of the central institution

Please provide the competent authority of the central institution of the group.

B. Competent authority of non-financial and third country intergroup counterparties not located in Austria

Please provide details (type of entity ‘FC’ / ‘NFC’; competent authority) of all group entities included in the application which are not located in Austria, i.e.:

- Entities located in another EU member state;
- Entities located in a non-EU member state (i.e. third country)

If no non-Austrian entities are included in the application, this section B. can be left blank.

C. Information on parent undertaking

Please provide information on the organisational structure of the IGT group applying for a clearing exemption (an applying group’s own org chart may be used or attached), along with any additional information on the organisational structure that may be useful for to understand the group structure.

II. Centralised risk evaluation, measurement and control procedures for groups according to Articles 3(2)(a) and 3(2)(d) EMIR

The intragroup exemption as mentioned in Article 4(2)(a) EMIR refers to the conditions laid down in Article 3 EMIR. Therefore, applicant groups pursuant to Articles 3(2)(a) and 3(2)(d) EMIR shall demonstrate that:

- both counterparties are subject to appropriate centralised risk evaluation, measurement and control procedures; and
- both counterparties are included in the same consolidation on a full basis.

A. Centralised Risk Management

Applicant groups shall share information on the centralised risk management. The information requested covers EMIR requirements and summarises the assessment conditions for NCAs according to ESMA Q&A OTC 6 (d):

[Clearing ESMA Q&A OTC](#)

More information on the information requested is laid down in chapter **V. Exemption from the clearing obligation** of this manual.

B. Additional Information on Centralised Risk Management

If the information provided under point A. is not applicable for the whole group and/or if there are different procedures for specific group entities (e.g. different risk management procedures between the central institution and group NFCs), these additional or specific procedures shall be described separately under this point B. with a sufficient level of detail to enable a sound assessment.

C. Information on consolidated supervision according to Articles 3(2)(a)(iii) and 3(2)(d) EMIR in context with Article 3(3) EMIR

In this section, applicants shall state whether the conditions relating to consolidated supervision are met. This may either be by confirming a consolidation pursuant to

- Art. 3(3)(a) EMIR: consolidation in accordance with international standards; or
- Art. 3(3)(b) EMIR: covered by the same consolidated supervision (applicants shall provide information on the country of supervision and the NCA involved).

III. Information to be provided to FMA for groups according to Articles 3(2)(b) or 3(2)(c) EMIR

Applicant groups according to Articles 3(2)(b) or 3(2)(c) EMIR shall provide the following information to FMA (as the case may be):

A. Groups according to Article 3(2)(b) EMIR

Applicant groups shall provide the date and file number of the actual approval confirming that the members of the group are part of the same institutional protection scheme, referred to in Article 80(8) of Directive 2006/48/EC.

B. Groups according to Article 3(2)(c) EMIR

Applicant groups shall provide the date and file number of the actual approval confirming that the credit institutions of the group are affiliated to the same central body as referred to in Article 3(1) of Directive 2006/48/EC.

VIII.D. Guide to the reporting exemption [Reporting exemption notification](#)

The information structure below reflects the chapters in the [Reporting exemption notification](#). Please note that not all sections might be relevant depending on the type of notification / application intended to be submitted.

I. Identification of the Group

Please provide details on all group entities involved in the notification / application at hand. The email address used for the [IGT tool](#) registration shall be stated under “email/IGT User ID”.

A. Information on applicant entity

Please provide details on the entity applying for an intragroup exemption from reporting (in accordance with Article 9(1) EMIR, as amended by regulation 2019/834).

B. Information on Austrian entities / intragroup counterparty pairs

Details on each intragroup counterparty pair involving an Austrian entity, for which an intragroup exemption from reporting (in accordance with Article 9(1) EMIR, as amended by regulation 2019/834) is applied, shall be provided in the [Reporting csv file template](#).

C. Information on parent undertaking

Please provide information on the group’s parent undertaking.

D. Information on group company responsible for centralised risk management

Please provide information on the group company responsible for the centralised risk management (RM company).

E. Organisational structure

Please attach information on the organisational structure of the group companies stated under items A. to D. in the [IGT tool](#) submission. Additional information on the organisational structure may also be shared in this section of the document.

II. Exemption criteria

Please share information on the exemption criteria per Article 9(1) EMIR, as amended by regulation 2019/834 in this section of the risk management document.

A. Exemption criteria confirmations

In this section II.A., applicants wishing to benefit from a reporting exemption need to confirm that all exemption criteria as stated in Art. 9(1) EMIR (as amended by regulation 2019/834) are met, which are:

- Both counterparties are included in the same consolidation on a full basis;
- Both counterparties are subject to appropriate centralised risk evaluation, measurement and control procedures, and
- The parent undertaking is not a financial counterparty.

B. Centralised Risk Management

Please share evidence that where an intragroup counterparty pair involves an Austrian entity, both counterparties are subject to appropriate centralised risk evaluation, measurement and control procedures according to Article 3 EMIR.

Applicants may also attach relevant documentation in the [IGT tool](#) submission.

The information shared in this section of the risk management document should provide insight into the risk management policies and controls (sub-item II.B.1.), on senior management's involvement in the process (sub item II.B.2.), and on the communication mechanisms (sub-item II.B.3.).

VIII.E. Field definition for CSV-File

		Description	Possible Values	Single [E] or Multiple [M] Choice	Additional information
Pairing	Applicant Counterparty Identifier	Unique ID of the applicant counterparty		E	
	Applicant Counterparty ID Type	ID Type chosen for the identification of the applicant counterparty (LEI or BIC)	LEI, BIC	E	
	Applicant Counterparty Name	Name of the Applicant Counterparty		E	Up to 90 UTF-8 characters
	Applicant Counterparty Status	Status of the Applicant Counterparty in the context of EMIR i.e. Financial Counterparty (FC) as defined in Article 2(8) EMIR, Non-Financial Counterparty (NFC) as defined in Article 2(9) EMIR	FC, NFC	E	
	Applicant Counterparty Country	Country of establishment of the Applicant Counterparty	AT	E	ISO 3166-1 Country Code
	Applicant Counterparty Competent Authority	Competent Authority of the Applicant Counterparty. For NFC, this authority is the one designated in accordance with Article 10(5) EMIR.	FMA	E	
	Intragroup Counterparty Identifier	Unique ID of the intragroup counterparty		E	
	Intragroup Counterparty ID Type	ID Type chosen for the identification of the intragroup counterparty (LEI or BIC)	LEI, BIC	E	
	(Other) Intragroup Counterparty LEI	Legal Entity Identifier of the IGT counterparty	LEI	E	ISO 17442 LEI, 20 characters
	(Other) Intragroup Counterparty Name	Name of the Intragroup Counterparty		E	Up to 90 UTF-8 characters
	(Other) Intragroup Counterparty registered address	Address of the registered headquarter of the company		E	
	Intragroup Counterparty Status	Status of the Intragroup Counterparty in the context of EMIR i.e. Financial Counterparty (FC) as defined in Article 2(8) EMIR or Non-Financial Counterparty (NFC) as defined in Article 2(9) EMIR or an entity established in a Third country jurisdiction (non-EU) in respect of which the European Commission has adopted an implementing act as referred to in Article 13(2) EMIR.	FC, NFC, TCE	E	
	Other Intragroup Counterparty Status	Status of the other Intragroup counterparty or its equivalent if it were established within the Union.	FC, NFC, TCEFC, TCENFC	E	
	(Other) Intragroup Counterparty Country	Country of establishment of the Intragroup Counterparty		E	ISO 3166-1 Country Code
	Intragroup Counterparty Competent Authority	Competent Authority of the Intragroup Counterparty. The Intragroup Counterparty Competent Authority is mandatory only if the status of the Intragroup Counterparty is FC or NFC and the Intragroup Counterparty Competent Authority field must not be reported if the Intragroup Counterparty Status is TCE.		E	Maximum of 10 alpha characters listed in Annex
	Other Intragroup Counterparty Competent Authority	Name of the Competent Authority of the other counterparty		E	
Corporate relationship	Defines the Corporate relationship from the point of view of the Applicant Counterparty. If the Applicant Counterparty is the parent of the Intragroup Counterparty, then this field must take the value PARENT. If the Applicant Counterparty is an affiliate of the Intragroup Counterparty then this field must take the value AFFILIATE and If the Applicant Counterparty is a subsidiary of the Intragroup Counterparty then this field must take the value SUBSIDIARY.	PAR, AFF, SUB	E		

	Category of IGT	Category of intragroup transaction exemption as specified in Article 3 EMIR 1 = IGT Category described in Article 3.1 2 = IGT Category described in Article 3. 2(a) 3 = IGT Category described in Article 3. 2(b) 4 = IGT Category described in Article 3. 2(c) 5 = IGT Category described in Article 3. 2(d)	Possible Values	Single [E] or Multiple [M] Choice	Additional information
Asset Class Specific	IGT Asset Class	Derivative class: CO = Commodity CR = Credit CU = Currency EQ = Equity IR = Interest Rate OT = Other	CO, CR, CU, EQ, IR, OT	E	
	IGT Type	IGT Type: FS = Forward and Swaps OP = Option OT = Other	FS, OP, OT	M	
	IGT Notional Currency	List of the IGT notional currencies		M	
	IGT Settlement Currency	List of the IGT settlement currencies		M	
	IGT Tenor	Defines the maximum tenor of the OTC derivative contracts concluded between the Applicant Counterparty and the Intragroup Counterparty for which the exemption is demanded 1: < 1 Year 2: < 2 Years 3: < 3 Years, ...	1, 2, 3, ...	E	
	IGT Settlement Type	Defines the settlement types of the OTC derivative contracts concluded between the Applicant Counterparty and the Intragroup Counterparty for which the exemption is requested: C = cash; P = physical; B = both	C, P, B	E	
	IGT Frequency	The anticipated frequency of OTC derivative transactions per year: number of OTC derivative transactions between the Applicant Counterparty and the Intragroup Counterparty, per year		E	Integer
	IGT Volume	The anticipated volume of OTC derivative transactions per year: gross notional amount of OTC derivative transactions between the Applicant Counterparty and the Intragroup Counterparty, per year, in million Euros		E	Maximum of 3 digits and max of 3 decimals numbers separated by "." separator
	IGT Size	The anticipated size of OTC derivative transactions per year: average notional amount of OTC derivative transactions between the Applicant Counterparty and the Intragroup Counterparty, in million Euros		E	Maximum of 3 digits and max of 3 decimals numbers separated by "." separator
	Exemption from IM or both		I, B	E	

Multiple choice: Combination of single values via using the '@' (example 'FS@OP')

VIII.F. Intragroup Counterparty Competent Authority

Field Name	Country	Code
Austrian Financial Market Authority	AT	FMA
Autorité des Services et Marchés Financiers	BE	FSMA
National Bank of Belgium	BE	NBB
Financial Supervision Commission	BG	FSC
Cyprus Securities and Exchange Commission	CY	CYSEC
Czech National Bank	CZ	CNB
Federal Financial Supervisory Authority	DE	BAFIN
Finanstilsynet Denmark	DK	FTNET
Estonian Financial Supervision Authority	EE	EFSA
Comisión Nacional del Mercado de Valores	ES	CNMV
Finanssivalvonta	FI	FIN-FSA
Autorité des marchés financiers	FR	AMF
Autorité de Contrôle Prudentiel et de Résolution	FR	ACPR
Hellenic Capital Market Commission	GR	HCMC
Croatian Financial Services Supervisory Agency	HR	HANFA
Hungarian Financial Supervisory Authority	HU	PSZAF
Central Bank of Ireland	IE	CBI
Fjármálaeftirlitid	IS	FME
Commissione Nazionale per le Società e la Borsa	IT	CONSOB
Banca d'Italia	IT	BCIT
Finanzmarktaufsicht Liechtenstein	LI	FMA-LI
Bank of Lithuania	LT	LSC
Commission de Surveillance du Secteur Financier	LU	CSSF
Financial & Capital Market Commission	LV	FKTK
Malta Financial Services Authority	MT	MFSA
Netherlands Authority for the Financial Markets	NL	AFM
Nederlandse Bank	NL	DNB
Finanstilsynet Norway	NO	FTNET-NO
Polish Financial Supervisory Commission	PL	PFSA
Comissão do Mercado de Valores Mobiliários	PT	CMVM
National Securities Commission	RO	CNVM
Finansinspektionen	SE	FINA
Securities Market Agency	SI	ATVP
National Bank of Slovakia	SK	NBS