

Register of information: summary tables

The summary tables below are designed to help financial entities (FE) falling under the scope of the DORA regulation and supervised by the CSSF to determine, whether a register of information needs to be communicated to the CSSF and based on which consolidation level, or whether it needs to be submitted to another competent authority (table 1). In case it is to be submitted on a consolidated basis, the second table provides details for which entities the information needs to be included in the register. These tables should identify a number of cases, without claiming to be exhaustive. In case of doubt, financial entities may always contact their supervision departments.

Table 1: Obligation of submission and level of consolidation

The Financial Entity (FE) is not part of a group	The FE is the EU parent of a group of FEs		The FE is a subsidiary within a group of FEs whose parent company (PC) is not in the EU/EEA	The FE is a subsidiary within a group of FEs whose EU PC is established in Luxembourg			The FE is a subsidiary within a group of FEs whose PC in the EU is established in a Eurozone country			The FE is a subsidiary within a group of FEs whose PC in the EU is established in an EU/EEA country outside the Eurozone	
	Supervised by the CSSF	Not supervised by the CSSF		PC is supervised by the CSSF	PC is supervised by the ECB	PC is not supervised by the CSSF or ECB	PC is supervised by the ECB	PC is supervised by an NCA from the same sector	PC is supervised by an NCA from another sector	PC is supervised by an NCA from the same sector	PC is supervised by an NCA from another sector
FE Individually To CSSF	FE Consolidated To CSSF	FE Consolidated To ECB	FE Individually To CSSF	PC Consolidated To CSSF	PC Consolidated To ECB	FE Individually To CSSF	PC Consolidated To ECB	PC Consolidated To same sector NCA	FE Individually To CSSF	PC Consolidated To same sector NCA	FE Individually To CSSF

Table 2: Identification of subsidiaries whose information must be included in the consolidated submission of an EU parent entity established in Luxembourg under CSSF supervision

Does the subsidiary belong to the same sector?	Where is the subsidiary located?	Is the subsidiary supervised by the CSSF?	Should the consolidated RoI include information about this subsidiary?
Yes	In Luxembourg	Yes	Yes
Yes	In the EU or EEA	No	Yes
Yes	Outside the EU or EEA	No	No
No	In Luxembourg	Yes	Yes
		No	No
No	In the EU or EEA	No	No
No	Outside the EU or EEA	No	No