

# Table of legislation and statutory instruments

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## EUROPEAN UNION

- Directive 2006/49/EC of 14 June 2006 on the Capital Adequacy of Investment Firms and Credit Institutions [2006] OJ L177/201 (Capital Requirement Directive) .....49.
- EU Commission Delegated Regulation (EU) No 448/2012 of 21 March 2012 supplementing Regulation (EC) No 1060/2009 with regard to regulatory technical standards for the presentation of the information that credit rating agencies shall make available in a central repository established by the European Securities and Markets Authority [2012] OJ L140/17, .....146.
- EU Commission Delegated Regulation (EU) No 449/2012 of 21 March 2012 supplementing Regulation (EC) No 1060/2009 with regard to regulatory technical standards on information for registration and certification of credit rating agencies [2012] OJ L140/32, .....146.
- Regulation (EC) No 1060/2009 of 16 September 2009 on credit rating agencies [2009] OJ L302/1 (CRA Regulation), .....4, 72–75, 93, 144, 146–148, 150–151.
- Regulation (EU) No 513/2011 of 11 May 2011 amending Regulation (EC) No 1060/2009 on credit rating agencies [1011] OJ L145/30 (CRA II Regulation), .....73, 151.

## FRANCE

- Loi française No 2010-1249 du 22 octobre 2010 de régulation bancaire et financière (codified in Code monétaire et financier), .....80–82.

## SWITZERLAND

- Federal Ordinance of 29 September 2006 concerning Capital Adequacy and Risk Diversification for Banks and Securities Traders [2006] SR 952.03 (Capital Adequacy Ordinance), .....11, 235.
- FINMA Circular on Recognition of Rating Agencies for the Assessment of Capital Adequacy Requirements, FINMA-Circ 08/26 (20 November 2008) .....47, 49.

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- Credit Rating Agency Reform Act of 2006, S 3850, 109th Congress (2006) ..29, 68, 166, 198, 208, 214.

Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, HR 4173, 111th Congress, 2nd Session (2010) (Dodd-Frank Act) .....4, 9, 11, 61, 64, 69–71, 79, 86, 89, 93, 144–145, 148–150, 155, 197, 225–226, 231, 233.	– Amendments to Rules for Nationally Recognized Statistical Rating Organizations, 74 Fed Reg 63,832 (December 4, 2009).....69.
SEC, Rating Agencies and the Use of Credit Ratings under the Federal Securities Laws, 68 Fed Reg 35,258 (June 12, 2003) .....23.	– Release No 68703, Order Making Findings and Imposing Remedial Sanctions and Cease-and-Desist Orders Pursuant to Sections 15E(d) and 21C of the Securities Exchange Act of 1934 against Egan-Jones Ratings Company and Sean Egan (January 22, 2013) .....150–151.
– Oversight of Credit Rating Agencies Registered as Nationally Recognized Statistical Rating Organizations, 72 Fed Reg 33,564 (June 18, 2007) .....69.	Securities Act of 1933, 15 USC § 77a et seq (as amended through PL 112-106, approved April 5, 2012) .....78.
– Amendments to Rules for Nationally Recognized Statistical Rating Organizations, 74 Fed Reg 6,456 (February 9, 2009).....69.	Securities Exchange Act of 1934, 15 USC § 78a et seq (as amended through PL 112-158, approved August 10, 2012) .....71, 145, 147–150.
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