

Table of statutes

Australia

Australian Prudential Regulation	
Authority Act 1998 (APRA Act).....	409
s 8(2).....	410
s 12.....	407
s 12(3).....	407
Australian Securities and Investments	
Commission Act 2001.....	409
Banking Act 1959.....	409, 411–416
Pt II.....	411, 412, 423
s 5.....	408, 412, 413, 419
ss 7–36.....	411
s 9.....	408
s 9A.....	413
s 9A(2)(e).....	413
s 9A(8).....	408
s 11AF.....	410
s 11CA.....	419
s 11CA(1)(g).....	413
s 11CA(2)(p).....	413
s 11CD.....	418
s 11F.....	423
s 12.....	413, 419
s 13A.....	423
s 13A(iii).....	423
s 13A(1)(a).....	414
s 13A(1)(b).....	414
s 13A(1)(c).....	414
s 13A(3).....	422
s 13A(4).....	423
s 13A(5).....	423
s 13C.....	415
s 13E.....	411
s 14A.....	415
s 14F.....	411, 415
s 15.....	415, 420
s 15A.....	415, 421
s 15C.....	418
s 16.....	422
s 16AB.....	423
s 16AI.....	424
s 16AJ.....	423
s 16AO.....	424
s 16AQ.....	409, 423
s 53.....	419
s 62B.....	421
s 63.....	408, 413
s 63(6).....	413
s 70B.....	409
Corporations Act 2001.....	409, 411, 415, 418, 419, 420, 423, 424, 425
s 9.....	419
ss 180–4.....	419
s 437F(8).....	425
s 459P.....	421
s 461.....	421
s 462(2)(h).....	421
Financial Sector (Business Transfer and Group Restructure Act) 1999 (Business Transfer Act).....	411
Pt 4.....	413, 420
s 24.....	418
s 25(2).....	418
s 28.....	418
s 35.....	414
s 36AA.....	418
Financial Sector (Shareholdings) Act 1998.....	419
s 8.....	407
s 12.....	407
Financial Sector Legislation Amendment (Prudential Refinements and Other Measures) Act 2010.....	416
Insurance Act 1973	
Part VB.....	416
Part VC.....	409
s 116.....	423
Public Governance, Performance and Accountability Act 2013.....	407
Reserve Bank Act 1959	
s 11.....	406
s 13.....	406
Corporations Regulations 2001.....	420, 421
Federal Court (Corporations) Rules 2000.....	420
Belgium	
Companies Code	
Art 518(2).....	310
Art 518(3).....	310
Art 522(1).....	314
Art 522(2).....	315
Art 532.....	315
Art 581.....	313
Art 612.....	313
Art 645.....	313

Law of 25 April 2014 on the status and supervision of credit institutions	292	Regulations on Financial Institutions (Central Bank, 1994)	431
Koninklijk Besluit (Royal Decree) no. 62	374	Regulations on Closure of Financial Institutions (PBOC, 15 December 2001).....	430
China		Regulations on the Cancellation of Financial Institutions (2001).....	431
Civil Procedure Law.....	431	France	
Commercial Bank Law, 2003	430, 431, 432, 441	Commercial Code	
Art 64.....	432, 449	Art L 225–18.....	310
Art 65.....	449	Art L 225–51–I.....	311
Art 66.....	450	Art L 225–55.....	311
Art 67.....	450	Art L 225–56–I.....	311
Art 68.....	450	Art L 225–61.....	311
Art 69.....	450	Art L 225–64.....	315
Art 70.....	450	Art L 225–96.....	313
Art 71.....	450	Art L 225–03.....	315
Art 72.....	451	Art L 225-246.....	313
Company Law.....	431	Law no. 2013-672 of 26 July 2013 on the separation and regulation of banking activities	285, 297
Contract Law.....	431	Germany	
Enterprise Bankruptcy Law, 2006	430, 431, 432, 433, 434, 441, 442	Constitution (Grundgesetz)	
Art 2.....	434, 435, 449	Art 19(1).....	459
Art 5.....	442, 443	Act on Ring Fencing and on Recovery and Resolution Planning of 7 August 2013 (Gesetz zur Abschirmung von Risiken und zur Planung der Sanierung und Abwicklung von Kreditinstituten und Finanzgruppen)	478, 481, 482
Art 134.....	435, 449	Administrative Procedure Act (Verwaltungsverfahrensgesetz)	
Art 135.....	434	s 28(1).....	491
Law on Regulation of and Supervision over the Banking Industry, 2003 ..	430, 431	Bank Separation Law (included in Art 2 of Law concerning Separation of Risks and Restructuring and Winding-Up of Credit Institutions and Financial Groups), BGBl. 2013 I Nr. 47, 3090	285, 297
Law on the People's Bank of China, 2003 ..	431	Banking Act (Kreditwesengesetz)	486
Administrative Measures for the Capital of Commercial Banks (for Trial Implementation) (CBRC, 2012, replacing the 2009 Guidelines, now effective)	444	s 1(1)	475, 486
Guidelines for Internal Control of Commercial Banks	445	Art 1(5)	494
Guidelines on the Information Disclosure of Capital Adequacy Ratio (CBRC, 2009, effective in 2009–12)	443	s 3(2)(1)	483
Guidelines for Implementing New Regulatory Standards in the Banking Industry (New Standards) (CBRC, 2007).....	443	s 3(2)(2)	482
Interim Measures for Preventing and Managing Payment Risks in Financial Institutions (Central Bank, 1998).....	431	s 3(2)(3)	482
Measures for the Information Disclosure of Commercial Banks (CBRC, 2007) ..	443, 444	s 3(4)	482
Art 27.....	444	s 7.....	485
Regulations on Administration of Foreign-funded Financial Institutions (State Council, 20 December 2001).....	442	s 25f	483
Art 2.....	443	s 25f(2)	483
		s 25f(3)	483
		s 35(2).....	472
		s 46b.....	453

s 46b(1)	472, 485	BRRD Transposition Act (BRRD-	
s 46b(2)	453	Umsetzungsgesetz)	464, 475, 477,
ss 47–47b	478		478, 483, 484, 486, 494
s 47(1)(1)	478	Codetermination Act	311
s 47(1)(2)	478	Commercial Code (Handelsgesetzbuch)	
s 47(1)(5)	479	s 340e	483
s 47a(1)–(3)	479	s 340g	475
s 47a(2)	479	Corporate Tax Code	
s 47a(4)	479	(Körperschaftsteuergesetz)	
s 47a(4)(1)	479	section 5 (1) no 2	475
s 47c(1)	480	Credit Institution Reorganization	
s 47d(2)	480	Act (Kreditinstitute-	
s 47d(3)	480	Reorganisationsgesetz)	466–467
s 47e(1)	481	Depotgesetz	374
s 47e(3)	481	Depositor Guarantee and Investor	
s 47e(4)	481	Compensation Act	453
s 47f(2)	480	s 4(2)	454
s 47g(1)	480	s 12	454
ss 48a–s	467	Financial Market Stabilization Act 2008	
s 48a	465, 478, 485	(Finanzmarktstabilisierungsgesetz)	456,
s 48a(2) no 1	467, 488		457, 477
s 48a(2) no 2	468	Financial Market Stabilization	
s 48b(1)	467, 488	Act 2012 (Zweites	
s 48b(2)	468, 488	Finanzmarktstabilisierungsgesetz)	463
s 48c(1)	468	Financial Market Stabilization	
s 48c(2)	468	Act of 2012 (Drittes	
s 48c(3)	468	Finanzmarktstabilisierungsgesetz)	463
s 48c(5)	468	Financial Market Stabilization	
s 48d(1)	471, 472	Acceleration Act (Finanzmark-	
s 48d(2)	471	tstabilisierungsbeschleun-	
s 48d(3)	471	igungsgesetz – FMStBG	456, 457, 473
s 48d(4)	471	s 3	457, 458
s 48d(6)	471	s 3(3)	457
s 48g(1)	470	ss 7–9	473
s 48g(2)	470	ss 12 et seq	457, 459
s 48g(4)	470	s 12(4)	459
s 48g(7)	472	Financial Market Stabilization Fund Act	
s 48h(2)	472	(Finanzmarktstabilisier-	
s 48j(1)	469	ungsfondsgesetz – FMStFG)	456
s 48j(2)	488	s 3a	456
s 48j(3)	469	s 4(1a)	478
s 48k(2)	469	s 5a	459
s 48k(3)	471, 472, 488	s 6	456
s 48k(5)	469	s 6a et seq	460, 462
s 48l(1)	472	s 6a(1)	460
s 48l(3)	473	s 6a(2)	461
s 48m(1)	473	s 6b	460, 461, 462
s 48m(2)	473	s 6(3)	461
s 48m(6)	473	s 7	456
s 48o(1)	473	s 7a	459
s 48p(1)	473	s 8	456, 457, 460
s 48q(3)	473	s 8a	462
s 48r(1)	473	s 8(2) no 4	460
s 48r(2)	474	s 8a(1)	461
s 48s(1)	474	s 8a(2)	462

s 8a(2) no 1.....	462	s 12j.....	493
s 8a(4) no 1.....	462	s 12(1).....	474, 475
s 9.....	456	s 12(3).....	474, 477
s 13(1).....	463	s 12(4).....	477
s 13(2a)(2).....	478	s 12(6).....	474
Code of Administrative Court Procedure (Verwaltungsprozessordnung).....	491	s 12(10).....	474
Financial Market Stabilization Supplementary Act (Finanzmarkt- stabilisierungsergänzungsgesetz) (FMStErgG).....	458	s 12(10)(4).....	475, 476
Art 3.....	459	s 12a.....	475
Financial Stabilization Enhancement Act (Finanzmarktstabilisierungs- fortentwicklungsgesetz).....	460, 461	s 17.....	493
Insolvency code (Insolvenzordnung)		Restructuring Fund Regulation (Restrukturierungsfondsverordnung)	
s 1.....	453	s 2.....	477
s 17.....	472	s 2(1).....	477
s 19.....	472	s 2(1)(1a).....	476
s 21(2).....	453	s 2(1)(1b).....	475
s 81(3).....	453	s 2(1)(1c).....	475
s 92(1).....	472	s 2(1)(1d).....	475
s 96(2).....	453	s 2(1)(1e).....	475
s 104(2).....	453	s 3.....	476
s 130(2).....	453	s 3(1).....	476
s 166(3).....	453	s 3(2).....	476
s 223(1).....	453	s 3(4).....	476, 477
Investment Fund Code (Kapitalanlagegesetzbuch)		Stock Corporation Act (Aktiengesetz)	
s 283(1).....	482	Art 76(1).....	314
s 225(1).....	482	Art 78(1).....	315
Law on the Rescue of Undertakings for the Purpose of Stabilizing the Financial Markets (Gesetz zur Rettung von Unternehmen zur Stabilisierung des Finanzmarkts – Rettungsübernahmegesetz).....	459	Art 84 (1).....	311
s 6(1).....	459	Art 84 (3).....	311
Recovery and Resolution Act (Sanierungs- und Abwicklungsgesetz (SAG) ...	452, 464, 483, 484, 486, 487, 488, 489, 490, 491, 492	Art 84 (3) (1).....	311
Restructuring Act 2010 (Restrukturierungsgesetz).....	453, 463, 464–481, 484, 485, 487, 490, 493	Art 119(1).....	313
s 2(2).....	475	Art 121(2).....	315
Art 3 (Restructuring Fund Act (Restrukturierungsfondsgesetz)).....	474	Art 124(3).....	311
Restructuring Fund Act (Restrukturierungsfondsgesetz).....	486	Art 127.....	311
s 2.....	493	Art 291.....	486
s 3a.....	493	Japan	
s 3b.....	493	Act on Emergency Measures for Early Strengthening of Financial Functions (Financial Function Early Strengthening Act).....	502, 503, 504
s 3(2).....	475	Act on Emergency Measures for the Reconstruction of the Function of the Financial System (Financial Reconstruction Act), 1998.....	501, 502, 503, 504, 505, 511
s 7.....	475	Art 3.....	501
s 8.....	475	Act on Special Treatment of Corporate Reorganization Proceedings and Other Insolvency Proceedings of Financial Institutions.....	498, 520
		Bank of Japan Act	
		Art 38.....	497, 511, 512
		Banking Act.....	497
		Bankruptcy Act.....	498, 520
		Civil Rehabilitation Act.....	498, 516, 520
		Corporate Rehabilitation Act.....	498, 520

Financial Instrument and Exchange Act.....	497	Pts 1–3.....	528
Deposit Insurance Act (DIA) 2000	496,	Pt 2.....	66
497, 498, 499, 503, 504, 514		Pt 3.....	66, 539
Art 2(4)	510	s 2.....	66
Art 74.....	499, 504	s 2(2)(a).....	528
Art 74(3)	510	s 2(2)(b).....	528
Art 91(1)	508	s 2(2)(c).....	528
Art 102.....	503, 509–510, 515, 520	s 4.....	549
Art 102(1).....	497, 504, 509, 510, 511, 516	s 5.....	529
Art 126–2(1).....	497, 515, 517, 519	s 5(4)	529
Deposit Insurance Amendment Act		s 7.....	67, 532, 549
2013.....	496, 515	s 7(5)	531
		s 8.....	532
		s 9.....	532
		s 10(2)(b).....	529
		s 11.....	66, 529, 533
		s 12.....	66, 530
		s 13.....	66, 530, 533
		s 17(3).....	533
		s 17(5).....	533
		s 39(2).....	534
		s 39(3).....	534
		s 39(4).....	534
		s 47.....	534
		s 48.....	534
		ss 49–62.....	535
		s 50.....	536
		s 51.....	536
		s 52.....	536
		s 60.....	535, 536
		s 61.....	544
		s 82.....	530
		s 99.....	531, 537
		Banking (Special Provisions) Act 2008..	66, 526
		Companies Act 2006	
		Art 21.....	313
		Art 168(1).....	311
		Art 302.....	315
		Art 303.....	315
		Enterprise Act 2002	96
		Financial Services Act 2012 (FSA 2012)	66,
		67, 527, 533, 537, 544	
		Financial Services and Markets Act 2000	
		(FSMA).....	526, 528, 541, 549
		Pt 4.....	66
		Pt 9B (ss 142A–Z1)	285
		s 55B	67
		s 142A(1).....	296
		s 142A(2)(a).....	296
		s 142B(2)	296
		s 142C(2)	296
		s 142D(2).....	300
		s 142H.....	302
		ss 142K–142V	302
		s 224A	543
Financial Instrument and Exchange Act.....	497		
Deposit Insurance Act (DIA) 2000	496,		
497, 498, 499, 503, 504, 514			
Art 2(4)	510		
Art 74.....	499, 504		
Art 74(3)	510		
Art 91(1)	508		
Art 102.....	503, 509–510, 515, 520		
Art 102(1).....	497, 504, 509, 510, 511, 516		
Art 126–2(1).....	497, 515, 517, 519		
Deposit Insurance Amendment Act			
2013.....	496, 515		
Luxembourg			
Règlements grand-ducal (Grand-ducal			
Decreets).....	374		
Netherlands			
Dutch Civil Code			
Art 2:19 (1) (b)	313		
Art 2:107a (a).....	313		
Art 2:109	315		
Art 2:110	315		
Art 2:121	313		
Art 2:129	311, 314		
Art 2:130	315		
Art 2:132	310		
Art 2:134	310		
Art 2:142	310		
Art 2:143	310		
Art 2:162	310		
Art 2:164a (2).....	310		
Expropriation decree, Official Gazette			
(Staatscourant), 1 February 2013, no.			
2018.....	387		
Financial Supervision Act (Wet Financieel			
Toezicht)	389		
Art 6:3.....	387		
Art 6:9(1)	390		
Intervention Act: Special Remedies			
Financial Institutions Act (Wet			
bijzondere maatregelen financiële			
ondernemingen).....	389–390		
Art 1:1.....	389		
Art 6:2, s 4.....	389		
Securities Giro Transfer and			
Administration Act (Wge), TK 1975–			
1976, 13 780, no. 3, 12.....	367, 374		
Spain			
Ley del Mercado de Valores.....	374		
United Kingdom			
Banking Act 2009	66, 69, 70, 76, 315, 525,		
526, 527			

Sch 6	67	Art 2(2)(b).....	296
Financial Services (Banking Reform) Act		Art 2(2)(c).....	296
2013 (FSA 2013).....	544, 549	Art 2(2)(d).....	296
s 4.....	285	Arts 3–7	296
Human Rights Act 1998	527	Art 8.....	296
Insolvency Act 1986 (IA 1986).....	70, 526, 529, 537	Arts 9–10.....	296
s 175(1).....	96	Art 11(1)(a).....	296
s 328(1).....	96	Art 11(1)(b).....	296
		Art 11(1)(d).....	296
		Arts 12–13.....	296
Banking Act 2009 (Exclusion of Insurers)		FSMA 2000 (Threshold Conditions)	
Order 2010 (SI 2010/35).....	528	Order SI 2013/555.....	67
Banking Act 2009 (Restriction of Partial		Insolvency Rules 1986.....	526
Property Transfers) Order 2009		Investment Bank Special Administration	
(Protection Order).....	69, 534, 535	Regulations 2011 SI 2011/245.....	69
Banking Act 2009 (Restriction of Partial		Northern Rock plc Transfer Order 2008	385, 386
Property Transfers) (Amendment)			
Order 2009.....	69	Financial Services Handbook (COMP Rules)	
Banking Act 2009 (Third Party		r 1.1.7G	542
Compensation Arrangements		r 3.2.1R	542
for Partial Property Transfers)		r 4.2.2R	542
Regulations 2009, SI 2009/319		r 4.3.....	542
(Creditor Protection Regulations).....	69, 535, 536	r 5.3.....	542
Companies (Model Articles) Regulations 2008		r 5.4.....	542
Art 3.....	315	r 5.5.....	542
Art 20.....	311	r 6.2.....	542
Credit Institution (Financial Support)		r 6.3.....	542
Act 2008 and the Credit Institutions		r 6.3.2R	542
(Financial Support) Scheme 2008		r 7.2.1R	542
(S.I. No.411 of 2008).....	355	r 7.3.8R	542
Financial Services and Markets Act 2000		r 7.3.8(4).....	542
(Excluded Activities and Prohibitions		r 7.3.8(5).....	542
Order) 2014		r 7.4.1R	543
Art 5.....	300	r 7.4.5R	543
Art 6.....	301	r 9.2.1R	541
Art 7.....	301	r 10.2.3R	541
Art 8.....	301		
Art 9.....	301	United States of America	
Art 10.....	301	Banking (Glass–Steagall) Act 1933	55, 345
Art 11.....	301	Bank Holding Company Act 1956	
Art 12.....	301	(BHCA).....	554
Art 13.....	301	s 4(k).....	554
Art 14.....	301	s 13.....	285, 289
Art 15.....	301	Bankruptcy Code, 11 U.S.C. § 101, et seq.	
Art 16.....	301	433, 551, 553, 554, 562
Art 17.....	301	Ch 7	555, 557
Art 18.....	301	Ch 11.....	562
Art 19.....	301	Dodd-Frank Wall Street Reform and	
Art 20.....	297, 301	Consumer Protection Act, Pub. L.	
Financial Services and Markets Act		No. 111-203, HR 4173, 111th Cong.	
2000 (Ring-fenced Bodies and Core		(2010)	6, 44, 51, 59, 148, 269, 285, 550, 553
Activities) Order 2014.....	296	Title I.....	559
Art 2(2)	296	Title II.....	21, 270, 551, 561, 562, 563
Art 2(2)(a).....	296		

s 113	559	European Union	
s 165	269	EC Treaty	
s 165(d)	551, 558, 559	Art 189 (now Art 249)	183
s 165(d)(3)-(4)	559	Treaty on European Union (TEU)	149
s 166	269	Art 3(5)	288
s 171	269	Art 6(1)	380
ss 201–217	551	Art 6(2)	380
s 201(a)(9)	555	Art 13(2)	128, 160
s 201(a)(11)	554	Art 17(1)	160
s 202	554	Art 48(6)	153
s 203(a)	555	Treaty on the Functioning of the	
s 203(b)	554	European Union (TFEU)	
s 203(e)	555	Art 49 et seq	468
s 203(4)	554	Art 107	131, 166, 539, 544
s 204(d)	555	Art 107(1)	130, 131, 167
s 206	555	Art 108	131, 166
s 210(a)	555	Art 108(3)	131
s 210(a)(8)-(10)	556	Art 114	121, 122, 123, 124–125, 139, 292
s 210(b)(4)	556	Art 122(2)	152
s 210(c)(13)	556	Art 125	151, 152, 155, 156, 171
s 210(c)(1)-(3)	556	Art 127(6)	121
s 210(c)(8)-(12)	556	Art 136	153, 154
s 210(c)(10)	557	Art 136(3)	154, 155, 156, 171
s 210(c)(16)	563	Art 263	185
s 210(d)(4)	556	Art 267	186
s 210(h)(5)(E)	556	Art 273	145, 159
s 210(n)	557, 561	Art 282(2)	160
s 619	285, 481	Art 288	183
s 1609(a)(D)(iv)	557	Art 352	122
s 1609(n)(6)	557		
Federal Deposit Insurance Act (FDIA),		Regulations	
Pub. L. No. 81-797(1950)	68, 70, 71,	BRRD Amendment Regulation:	
	551, 553, 555	Commission delegated regulation	
s 11	553	(EU) 2015/63/EU	
s 13	553	Art 4	477, 493
s 13(c)	553	Art 6 et seq	477, 493
FDICIA (1992)	7	Capital Requirements Regulation (CRR)	
Federal Reserve Act, 12 USC Section 343		(Prudential requirements for credit	
s 13(3)	561	institutions and investment firms)	
Investment Company Act 1940		Regulation No 575/2013, [2013] OJ	
s 3(c)(1), (7)	291	EU L176/1	59, 85, 104, 117, 175, 145,
Securities Investor Protection Act (SIPA),		180–186, 187, 189, 190, 206, 210, 214, 221,	
Pub. L. No. 91-598 (1970)	551, 553	222, 224, 230, 232, 233, 234, 276,	
s 6	553	288, 289, 297, 306, 475, 486, 494	
s 205	556	rec (27)	215
Code of Federal Regulations		rec (45)	215
Pt 201	561	Title V	276
s 243.3(a)(3)–(4)	559	Pt 2	87
s 243.3(a)(1)(ii)	560	Art 2(1)(k)	303
s 243.3(a)(1)(iii)	560	Art 4	175
s 380.12	563	Art 4(1)	486
Uniform Commercial Code		Art 4(1)(1)	182, 377, 493
§ 8	374	Art 4(1)(2)	182
§ 8–110 (1994)	370	Art 4(1)(3)	182
		Art 4(1)(118)	229

Art 26(3)	183	and Regulation (EU) No 236/2012,	
Art 28... 89, 183, 184, 185, 198, 202, 218, 219		OJ L 257/1	375
Art 28(1)(e)	219	Art 38.....	375
Art 28(1)(f)	219	Economic and budgetary surveillance for	
Art 28(1)(h)	220	euro area Member States dealing with	
Art 28(h)(i)	205	financial stability risks, Reg (EU)	
Art 28(1)(j)	191	472/2013 [2013] OJ L 140/1	167, 171
Art 28(1)(l)	207	Art 2(1)	169
Art 28(5)(c)	205	Art 2(3)	168, 169
Art 29.....	183, 184	Art 2(4)	168
Art 30.....	184, 204	Art 2(5)	168
Art 49.....	214	Art 3.....	169
Art 49(1)(n)	215	Art 3(1)	169
Art 51.....	214, 215	Art 3(2)	169
Art 51(1)(n)	216	Art 3(3)	169
Art 52.....	185, 198, 202, 216–221	Art 3(4)	169
Art 52(1)	90	Art 3(5)	169
Art 52(1)(e)	207	Art 3(7)	169
Art 52(1)(f)	192	Art 4.....	169
Art 52(1)(j)	197	Art 7(1)	167
Art 52(1)(l)	193	Art 7(2)	167, 168
Art 54.....	216–221	Art 7(12)	168
Art 54(1)(a)	217, 218, 219	Art 14(1)	170
Art 54(1)(b)	217	Art 14(2)	170
Art 54(1)(d)	220	Art 14(3)	170
Art 54(4)	221	Art 14(4)	170
Art 54(5)	221	EMIR (European Market Infrastructure	
Art 54(6)	221	Regulation): Reg (EU) No 648/2012	
Art 54(7)	221	on OTC derivatives, central	
Art 55.....	184	counterparties and trade repositories	
Art 63.....	90, 185, 194, 198, 202	OJ L 201/1	298, 306, 336, 375,
Art 63(e).....	207		376
Art 63(j)	210	rec (64)	376
Art 63(1)	195, 209	Art 39.....	376
Art 65.....	184	Art 39(9)	376
Art 72.....	87	European Financial Stabilisation	
Art 92.....	218, 221	Mechanism, Reg (EU) 407/2010	
Art 92(1)	217	[2010] OJ L 118/1.....	152
Art 113.....	304	European Supervisory Authority	
Art 195.....	469	(European Banking Authority), Reg	
Art 196.....	469	1093/2010	164, 171
Art 295.....	469	Art 19.....	277
Art 487.....	185	Art 19(3)	113
Art 521.....	180	Art 31(c).....	111
Common provisions for monitoring and		European Supervisory Authority	
assessing draft budgetary plans and		(European Securities and Markets	
ensuring the correction of excessive		Authority), Regulation (EU) No	
deficit of the Member States in the		1095/2010	
euro area, Reg (EU) 473/2013 [2013]		Art 10(1)	138
OJ L 140/11	167, 169	Insolvency Proceedings, Council	
CSD Regulation: Reg (EU) No 909/2014		Regulation (EC) 1346/2000.....	435
on improving securities settlement in		International accounting standards	
the European Union and on central		(in accordance with Reg (EC) No	
securities depositories (amending		1606/2002), Commission Regulation	
Directives 98/26/EC and 2014/65/EU		(EU) No 575/2013, OJ L 320/1	298

MiFIR: Regulation (EU) No 600/2014 on markets in financial instruments and amending Regulation (EU) No 648/2012, OJ L 173	372, 377	Art 7(3)	126, 127
Art 2(1)(1)	373	Art 7(3)(a)-(d)	126
OTC Derivatives, central counterparties and trade repositories Regulation (EU) No 648/2013, OJ L 201/1	306	Art 7(4)	127
Own Funds Requirements for institutions (regulatory technical standards), Commission Delegated Regulation (EU) No 241/2014 supplementing Reg (EU) No 575/2013 (OJEU L. 78 of 14 March 2014, pp. 8–26)	205	Art 7(4)(a)	127
Rome I Regulation (Regulation 593/2008) ..	342	Art 7(4)(b)	127
Short Selling Regulation Art 28	123	Art 7(5)	127
SRM (Single Resolution Mechanism) Regulation (SRMR), Reg No 806/2014, OJ L 225, 30.07.2014, pp. 1–90	51, 72, 74–76, 77, 83, 84, 102, 103, 105, 117, 118, 119–138, 143, 171, 280, 306, 317, 318, 328, 359, 364, 448, 494, 495	Art 8	84
Pt III, Title V, Ch 2	281	Art 8(1)	319
rec (3)	124	Art 8(2)	319
rec (9)	74, 124	Art 8(8)	319
rec (10)	74	Art 8(9)	319
rec (11)	105, 124	Art 9	72, 84
rec (12)	123, 124, 125	Art 10	85
rec (15)	120	Art 10(1)	319
rec (16)	105, 125	Art 10(3)	319
rec (17)	121	Art 10(4)	319
rec (18)	125	Art 10(9)	320
rec (19)	74, 139, 141	Art 10(10)	320
rec (22)	121	Art 10(11)	320
rec (24)	129, 135, 136	Art 12	97
rec (26)	134, 135	Art 13	85
rec (28)	126	Art 13(1)	320
rec (30)	131, 137	Art 14	130
rec (31)	134	Art 14(1)	323
rec (38)	121	Art 14(2)	88, 119, 323
rec (58)	119	Art 15(a)	323
rec (60)	120	Art 15(b)	323
rec (91)	106	Art 15(c)	323
rec (101)	139	Art 15(1)(a)	89, 120
Art 1	140	Art 15(1)(c)	120
Art 2(b)	120	Art 15(1)(f)	120
Art 2(c)	121	Art 15(1)(g)	85, 93, 120
Art 2(1)	120	Art 15(1)(h)	120
Art 4	280	Art 16	281
Art 5	280	Art 16(1)	88
Art 5(1)	106	Art 16(20)	88
Art 6	120, 281	Art 16(3)	88
Art 6(6)	141	Art 17	97
Art 7(2)	126, 280	Art 18	75, 133
		Art 18(1)	87, 126, 129, 130, 322
		Art 18(1)(a)	322
		Art 18(4)	130, 322
		Art 18(4)(a)	87
		Art 18(4)(b)	87
		Art 18(4)(c)	87
		Art 18(4)(d)	87
		Art 18(5)	130
		Art 18(6)	126, 133
		Art 18(7)	133, 135, 136, 137, 138
		Art 18(9)	495
		Art 19	130, 131, 137
		Art 19(1)	125, 130
		Art 19(2)	131
		Art 19(3)	131
		Art 20	92

Art 20(16).....	93	Art 76(1)	140
Art 20(17).....	93	Art 77.....	100, 140
Art 21(1).....	89	Art 96.....	139
Art 21(1)(a).....	89	Single Supervisory Mechanism (SSM)	
Art 21(1)(b)-(d).....	89	Regulation (EU) No 1024/2013,	
Art 21(3).....	89	[2013] OJ L 287/63	72, 105, 106, 118,
Art 21(10)(a).....	89	130, 164, 186, 280, 306, 359, 494	
Art 22(2).....	323	Art 1.....	494
Art 22(4).....	323	Art 2.....	126
Art 23.....	86	Art 2 no 3.....	494
Art 24.....	92	Art 4.....	72
Art 24(1).....	324	Art 6.....	72
Art 25.....	93, 324	Art 6(4).....	494
Art 26.....	94, 324	Art 7.....	120
Art 27(1).....	125	Art 33(4).....	165, 494
Art 27(1)(a).....	95	Reg (EU) 236/2012 of 14 March 2012	
Art 27(1)(b).....	95	Art 2 (1) lit. k.....	482
Art 27(2).....	96, 125, 324	Reg 1257/2012.....	143
Art 27(3).....	96	Reg 1022/2013 amending Reg 1093/2010	
Art 27(5).....	96	[2013] OJ L 287/5	118, 164
Art 27(6).....	101	Commission Delegated Reg (EU) no.	
Art 27(7).....	101, 172	231/2013 of 19 December 2012	
Art 27(9).....	101, 172	Art 111.....	482
Art 27(13).....	97	Directives	
Art 27(15).....	97	Alternative Investment Fund Managers	
Art 27(16).....	98	Directive (AIFMD): Dir 2011/61/	
Art 29.....	90, 93	EU on Alternative Investment Fund	
Art 29(1).....	127	Managers (amending Dirs 2003/41/	
Art 29(2).....	127	EC and 2009/65/EC and Regs	
Art 29(3).....	127	(EC) No 1060/2009 and (EU) No	
Art 30(6).....	172	1095/2010), OJ L 174.....	373
Art 32.....	281	Art 21(8)(a).....	373
Arts 42–48.....	74	Annual accounts and consolidated	
Art 42(1).....	118	accounts of banks and other financial	
Arts 49–51.....	129	institutions, Dir 86/635/EEC	
Art 50(1)(c).....	135	Art 38.....	475
Art 50(1)(d).....	135	Bank Recovery and Resolution Directive	
Art 53.....	129	(BRRD), Dir 2014/59/EU, OJ L 173,	
Art 54.....	129	12.6.2014, pp. 190–348.....	12, 15, 51, 72,
Art 55.....	281	73, 74, 75, 83, 84, 102, 103–116, 117,	
Arts 58–60.....	142	121, 124, 125–126, 141, 165, 191, 216,	
Art 58.....	131	221–232, 233, 234, 269, 272, 276, 280,	
Art 60.....	131	281, 306, 308, 317, 328, 342, 359, 365,	
Art 67 et seq.....	494, 495	379, 390–399, 448, 452, 464, 475, 477,	
Art 67.....	99, 139	478, 480, 491, 492, 525, 544, 546–549,	
Art 67(2).....	139	563, 568, 570, 571	
Art 69.....	51, 99	rec (1).....	119
Art 69(1).....	145	rec (3).....	104
Art 70.....	99	rec (4).....	308
Art 71.....	100	rec (5).....	104, 308
Art 72.....	100	rec (6).....	315
Art 73.....	51, 100	rec (7).....	104
Art 75.....	100		
Art 75(1).....	140		
Art 76.....	100		

rec (9).....	104	Art 12(1).....	276, 319
rec (11).....	104	Art 12(3)(b).....	111
rec (13).....	489	Art 13.....	276
rec (15).....	108	Art 13(4).....	111
rec (19).....	318	Art 13(5).....	111
rec (39).....	321	Art 13(10).....	277
rec (40).....	320	Art 15.....	85
rec (41).....	322	Art 15(1).....	319
rec (44).....	125	Art 16.....	276
rec (65).....	324	Art 16(1).....	111, 319
rec (66).....	324	Art 17.....	392
rec (67).....	324	Art 17(3).....	320
recs (67)-(72).....	73	Art 17(4).....	320
rec (68).....	222, 324	Art 17(5).....	320
rec (69).....	325	Art 17(4).....	112
rec (96).....	105	Art 17(5)(g).....	113
rec (98).....	105	Art 18(1).....	320
Title II.....	391	Art 18(3).....	112
Title III.....	391	Art 18(9).....	113
Title IV.....	391	Arts 19–26.....	486
Title VI.....	279	Art 19(1).....	320
Title VII.....	277	Art 21.....	320
Art 1(1).....	104	Art 27.....	85
Art 1(1)(a).....	493	Art 27(1)(a).....	321
Art 1(1)(d).....	107	Art 27(1)(b).....	321
Art 1(2).....	83, 104	Art 27(1)(c).....	321
Art 2(1).....	113, 114	Art 27(1)(e).....	321
Art 2(1)(23).....	493	Art 27(1)(f).....	321
Art 2(1)(35).....	488	Art 27(1)(g).....	321
Art 2(1)(38).....	229	Art 27(1)(h).....	321
Art 2(1)(98).....	333	Art 28.....	85, 114, 321, 547
Art 2(2).....	486	Art 29.....	85
Art 2(35).....	224	Art 29(1).....	322
Art 2(37).....	276	Art 29(2).....	322
Art 2(44).....	276	Art 29(5).....	322
Art 2(47).....	93	Art 31.....	223, 547
Art 2(68).....	89	Art 31(1).....	323
Art 2(69).....	90	Art 31(2).....	88, 323, 488
Art 2(73).....	90	Art 31(3).....	488
Art 2(94).....	393	Art 32.....	73, 87, 363, 392
Art 3.....	73, 230, 391	Art 32(1).....	87, 125
Art 3(2).....	108	Art 32(1)(a).....	322
Art 3(4).....	108	Art 32(1)(b).....	322
Art 5.....	84	Art 32(1)(c).....	322
Art 5(1).....	318, 546	Art 32(2).....	87, 114
Art 6(2).....	318	Art 32(4).....	87
Art 6(5).....	318	Art 32(4)(b).....	87
Art 6(6).....	318	Art 32(4)(d).....	87
Art 7.....	84	Art 33.....	87
Art 7(1).....	318	Art 33(1).....	88
Art 10.....	74, 84	Art 33(4).....	88
Art 10(1).....	319	Art 34.....	224–225, 392
Art 10(3).....	110	Art 34(a).....	323
Art 11(1).....	319	Art 34(b).....	323
Art 12.....	84	Art 34(c).....	323

Art 34(1)	224, 225, 228	Art 44(2)(a)	393
Art 34(1)(a)	89, 99	Art 44(3)	42, 96
Art 34(1)(b)	99	Art 44(4)	101
Art 34(1)(g)	85	Art 44(5)	101
Art 35	90, 113	Art 44(7)	101
Art 35(1)	323	Art 44(8)	101
Art 35(2)	323	Art 45	97, 229, 563
Art 35(3)	323	Art 45(1)	231
Art 36	92, 395	Art 45(2)	229
Art 37	73	Art 45(4)	232
Art 37(2)	89	Art 45(6)	230
Art 37(3)	323, 342	Art 45(13)	393
Art 37(3)(d)	228	Art 45(14)	393
Art 37(4)	323	Art 46(1)	97
Art 37(5)	95	Art 46(2)	97
Art 37(6)	86, 93	Art 46(3)	89
Art 37(8)	269	Art 47(1)	97
Art 37(9)	86, 125	Art 48	97, 393
Art 38	487, 547	Art 48(1)(a)-(e)	98
Art 38(1)	92, 324	Art 48(2)	98
Art 38(2)	324	Art 49	96
Art 38(7)	92	Art 50(2)	395
Art 38(11)	92	Art 51	98
Art 38(13)	93	Art 52(3)	98
Art 39	92, 487, 547	Art 52(4)	98
Art 40	324, 487, 547	Art 52(6)	98
Art 40(1)	93	Art 52(7)	98
Art 40(2)	93	Art 55	228
Art 40(3)	93	Art 55(1)	226
Art 40(9)	93	Arts 56–58	392, 549
Art 40(11)	93	Art 56	85, 101, 277, 364
Art 41	487, 547	Art 57	101
Art 41(1)	94	Art 58	101
Art 41(2)	94	Art 59(1)	89
Art 41(3)	94	Art 59(3)	89
Art 41(5)	94	Art 59(4)	89
Art 41(6)	94	Art 60	395
Art 41(8)	94	Art 60(1)(a)	89
Art 42	324, 487, 547	Art 60(2)	89
Art 42(1)	94	Art 60(3)	90
Art 42(5)	94	Art 60(4)	90
Art 42(3)	94	Art 61	89
Art 42(12)	95	Arts 63–72	90, 547
Art 42(13)	95	Art 63(b)	325
Arts 43–58	547	Art 63(c)	325, 327
Art 43	73, 484	Art 63(h)	325, 327
Art 43(1)	95	Art 63(i)	325, 327
Art 43(2)	125, 223	Art 63(l)	325, 327
Art 43(3)	125, 324	Art 63(1)	90, 95
Art 43(2)(a)	95, 230	Art 63(2)	90
Art 43(2)(b)	95, 230	Art 64(1)	90
Art 43(3)	96	Art 64(3)	92
Art 44	73	Art 65	92
Art 44(1)	96, 229	Art 66	90, 484
Art 44(2)	96, 231	Art 67	90

Art 68.....	91, 342, 343	Art 100.....	99, 493
Art 68(6).....	342	Art 101.....	99, 277
Art 69.....	90, 343	Art 102.....	99
Art 70.....	89, 343	Art 103.....	99
Art 71.....	343, 548	Art 104.....	99
Art 71(5)(a).....	343	Art 105.....	99
Art 71(5)(b).....	343	Art 107.....	115
Art 72.....	90, 91	Art 107(1).....	114
Art 73.....	93	Art 107(5).....	110
Art 74.....	93, 395	Art 108.....	97
Art 75.....	93, 98, 395	Art 108(a)(i).....	363
Arts 76–77.....	343	Art 108(b).....	363
Art 76.....	91	Art 109.....	362
Art 76(2).....	91	Art 109(5).....	362
Art 77.....	91	Art 109(1).....	99
Art 77(2).....	91	Art 116.....	327, 487
Art 78.....	91	Art 120.....	327, 487
Art 78(2).....	91	Art 121.....	487
Art 82.....	96	Art 122.....	327, 487
Art 85(1).....	327	Art 123.....	327
Art 85(2).....	327	Art 130.....	395
Art 85(3).....	327	Art 130(1).....	484, 485
Art 85(4).....	328	Banking Directive (First), 77/780 EEC.....	572
Art 86(1).....	88	Art 1.....	55
Art 86(2).....	88	Banking Directive (Second), 1989.....	118, 149
Art 86(3).....	89	Capital Requirements Directive IV (Directive 2013/36).....	59, 85, 104, 117, 145, 181, 206, 218, 230, 276, 288, 306, 348, 470, 475
Art 87.....	276, 484	Section III.....	206
Art 87(1)(a).....	107	Art 104.....	85
Art 87(1)(c).....	107	Art 136.....	320
Art 87(1)(h).....	107	Arts 141 et seq.....	206
Art 87(1)(1).....	107	Collateral Directive (Dir No 2002/47/EC on financial collateral arrangements), OJ L 168/43	
Art 88.....	276	Art 2(1)(n).....	333
Art 88(2).....	108	Art 9.....	370
Art 88(3).....	279	Company Directive (Second), Dir 77/91/ EEC, OJEEC L 26, 31 January 1977).....	458, 465
Art 88(4).....	109	Art 15.....	193
Art 88(5)(a)-(c).....	109	Art 25.....	458, 465
Art 88(6).....	109	Art 29.....	458, 465
Art 89.....	110, 279	Art 30.....	458, 465
Art 91.....	278	Company Directive (Second) (recast), Dir 2012/30/EU 2012 O.J. L 315/74....	312, 458
Art 91(6)(a).....	278	Art 19(1).....	312
Art 91(8).....	278	Art 29.....	459, 465
Art 91(10).....	269	Art 29(1).....	312
Art 92.....	278	Art 33.....	458, 465
Art 92(1).....	116	Art 33(1).....	312
Art 92(2)(a).....	278	Art 33(4).....	312
Art 92(4).....	278	Art 34.....	458, 465
Art 92(6).....	269	Art 34(1).....	312
Art 93.....	279		
Art 93(2).....	279		
Art 93(3).....	279		
Art 94.....	280		
Art 95.....	280		
Art 97.....	279		
Art 97(4).....	279		
Art 99.....	99		

Art 41(1)	312	implementing Directive 2004/39/EC, OJ L 241	372, 373, 375
Cross-border mergers of limited liability companies, Dir 2005/56/EC, 2005 O.J., L 310		Art 13	372, 377
Art 9(1)	313	Art 16	372, 377
Deposit Guarantee Directive, Dir 94/19/ EC, OJ L 135/5	293, 353, 354, 358–363, 453, 454, 480	Art 16(2)	378
Deposit Guarantee Directive (recast DGSD), Dir 2014/49/EU, [2014] OJ EU L173/149	96, 99, 223, 293, 306, 346, 359, 360, 361, 363, 488	MiFID II: Dir 2014/65/EU on markets in financial instruments (amending Dirs 2002/92/EC and 2011/61/EU), OJ L 173	
Art 2(1)	361	Art 1(1)	373
Art 2(1)(4)	393	Art 1(3)	372
Art 2(1)(12)	362	Art 1(4)	372
Art 5(1)	360	Art 16	373
Art 5(2)	293	Art 16(8)	372
Art 5(2)(b)	360	Art 16(9)	372
Art 5(3)	293	Payment services in the internal market, Dir 2007/64/EC (amending Dirs 97/7/ EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Dir 97/5/ EC) OJ L 319/1	300, 377
Art 6	361	Art 9(1)(a–c)	378
Art 8	360	Settlement finality in payment and securities settlement systems, Dir 98/26/EC OJ L 166/45	469
Art 8(1)	362	Art 9(2)	370
Art 10	361	Shareholder Rights in listed companies, Dir 2007/36/EC, 2007 O.J., L 184/17	
Art 11(1)	362	rec (4)	313
Art 11(2)	362	rec (6)	314
Art 11(3)	363	rec (8)	314
Art 11(5)	363	Art 1(1)	313
Art 12	362	Art 5(1)	314
Art 12(3)	362	Art 5(2)	314
Art 13	362	Art 6(1)	314
Art 24	73	Art 9(1)	314
Art 44(2)(a)	363	Sixth Council Directive based on Article 54 (3) (g) of the Treaty, concerning the division of public limited liability companies, 1982 O.J., L 378/47	
Art 91	360	Art 5(1)	313
Investor compensation schemes Directive, Dir 97/9/EC, OJEC L. 84 pp. 22–31....	223, 453, 454, 480, 488	Taking up of the business of credit institutions (recast), Dir 2006/48/ EC, OJEU L. 177, 30 June 2006, pp. 1–200	186, 276, 392
Mergers of public limited liability companies, Dir 2011/35/EU, 2011 OJ L 110/1		Winding-Up Directive: on the Reorganisation and Winding-up of Credit Institutions, Dir 2001/24/EC	61, 64, 572
Art 7(1)	313	Dir 2002/87/EC	104
MiFID (Markets in Financial Instruments Directive): Dir 2004/39/EC (amending Council Dirs 85/611/ EEC and 93/6/EEC and Dir 2000/12/EC and repealing Council Dir 93/22/ EEC, OJ L 145	371, 373	Dir 2009/14/EC	358, 359, 360, 361, 365
Title II	392	Art 1(6)	360
Art 4	373	Art 6	359
Art 4(1)	373	Art 6(2)	360
Art 13(7)	372	Dir 2009/49/EC	392
Art 13(8)	377		
Annex 1A	475, 486		
MiFID Implementing Directive: Commission Dir 2006/73/EC,			