

Notification template for Article 131 CRD – Other Systemically Important Institutions (O-SII)

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- notifications@esrb.europa.eu when notifying the ESRB;
- macropru.notifications@ecb.europa.eu when notifying the ECB;
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Emailing this template to the above-mentioned addresses constitutes an official notification, no further official letter is required. In order to facilitate the work of the notified authorities, please send the notification template in a format that allows electronically copying the information.

1. Notifying national authority																																																	
1.1 Name of the notifying authority	Austrian Financial Market Authority																																																
2. Description of the measure																																																	
2.1 Concerned institution or group of institutions	<table border="1"> <thead> <tr> <th>Institution</th> <th>Basis</th> <th>LEI</th> </tr> </thead> <tbody> <tr> <td>Erste Group Bank AG</td> <td>consolidated</td> <td>PQOH26KWDF7CG10L6792</td> </tr> <tr> <td>Raiffeisen Bank International AG</td> <td>consolidated</td> <td>9ZHRYM6F437SQJ6OUG95</td> </tr> <tr> <td>UniCredit Bank Austria AG</td> <td>consolidated</td> <td>D1HEB8VEU6D9M8ZUXG17</td> </tr> <tr> <td>BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft on the basis of the consolidated situation of BAWAG Group AG</td> <td>consolidated</td> <td>529900ICA8XQYGIKR372</td> </tr> <tr> <td>Raiffeisenlandesbank Oberösterreich Aktiengesellschaft on the basis of the consolidated situation of Raiffeisenbankengruppe OÖ Verbund eGen</td> <td>consolidated</td> <td>I6SS27Q1Q3385V753S50</td> </tr> <tr> <td>RAIFFEISEN-HOLDING NIEDERÖSTERREICH-WIEN registrierte Genossenschaft mit beschränkter Haftung</td> <td>consolidated</td> <td>529900SXEWPJ1MRRX537</td> </tr> <tr> <td>Volksbank Wien AG in its function as the central organisation pursuant to Article 30a BWG on the basis of the consolidated situation of the Volksbanken Verbund</td> <td>consolidated</td> <td>529900D4CD6DIB3CI904</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Institution</th> <th>Basis</th> <th>LEI</th> </tr> </thead> <tbody> <tr> <td>Erste Group Bank AG</td> <td>individual</td> <td>PQOH26KWDF7CG10L6792</td> </tr> <tr> <td>Raiffeisen Bank International AG</td> <td>individual</td> <td>9ZHRYM6F437SQJ6OUG95</td> </tr> <tr> <td>UniCredit Bank Austria AG</td> <td>individual</td> <td>D1HEB8VEU6D9M8ZUXG17</td> </tr> <tr> <td>BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft</td> <td>individual</td> <td>529900ICA8XQYGIKR372</td> </tr> <tr> <td>Raiffeisenlandesbank Oberösterreich Aktiengesellschaft</td> <td>individual</td> <td>I6SS27Q1Q3385V753S50</td> </tr> <tr> <td>RAIFFEISENLANDESBANK NIEDERÖSTERREICH-WIEN AG</td> <td>individual</td> <td>529900GPOO9ISPD1EE83</td> </tr> <tr> <td>Erste Bank der oesterreichischen Sparkassen AG</td> <td>individual</td> <td>549300HUKIA1IZQHFZ83</td> </tr> </tbody> </table>	Institution	Basis	LEI	Erste Group Bank AG	consolidated	PQOH26KWDF7CG10L6792	Raiffeisen Bank International AG	consolidated	9ZHRYM6F437SQJ6OUG95	UniCredit Bank Austria AG	consolidated	D1HEB8VEU6D9M8ZUXG17	BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft on the basis of the consolidated situation of BAWAG Group AG	consolidated	529900ICA8XQYGIKR372	Raiffeisenlandesbank Oberösterreich Aktiengesellschaft on the basis of the consolidated situation of Raiffeisenbankengruppe OÖ Verbund eGen	consolidated	I6SS27Q1Q3385V753S50	RAIFFEISEN-HOLDING NIEDERÖSTERREICH-WIEN registrierte Genossenschaft mit beschränkter Haftung	consolidated	529900SXEWPJ1MRRX537	Volksbank Wien AG in its function as the central organisation pursuant to Article 30a BWG on the basis of the consolidated situation of the Volksbanken Verbund	consolidated	529900D4CD6DIB3CI904	Institution	Basis	LEI	Erste Group Bank AG	individual	PQOH26KWDF7CG10L6792	Raiffeisen Bank International AG	individual	9ZHRYM6F437SQJ6OUG95	UniCredit Bank Austria AG	individual	D1HEB8VEU6D9M8ZUXG17	BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft	individual	529900ICA8XQYGIKR372	Raiffeisenlandesbank Oberösterreich Aktiengesellschaft	individual	I6SS27Q1Q3385V753S50	RAIFFEISENLANDESBANK NIEDERÖSTERREICH-WIEN AG	individual	529900GPOO9ISPD1EE83	Erste Bank der oesterreichischen Sparkassen AG	individual	549300HUKIA1IZQHFZ83
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2.4 Names of subsidiaries	N/A																																																															
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3.2 Timing of the Publication	The expected date of publication will be in December 2019.																																																															
3.3 Disclosure	The amended Capital Buffer Regulation and the identified institutions will be published after the decision on 25 November 2019 on the FMA website.																																																															
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3.6 Review of the measure	November 2020																																																															
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<p>4.2 Methodology and indicators used for designation of the O-SII (Article 131.3)</p>	<p>Please provide information on:</p> <ol style="list-style-type: none"> whether you followed the EBA guidelines on the assessment of O-SIIs: YES which threshold score has been set to identify O-SIIs: 275 which overall score is attributed to the O-SIIs: see 4.1. which of the optional indicators have been used to justify supervisory assessment decisions, if any, and what are the scores: Deposits guaranteed under deposit guarantee system with threshold of 350 (3.5 %) why these optional indicators are relevant for the Member State: Especially institutions with a high degree of guaranteed deposits can cause severe burden or overloading of the financial system in the case of financial difficulties. why the bank is systemically important in terms of those particular optional indicators: Threshold of 350 scores is exceeded whether relevant entities with relative total assets not in excess of 0.02% have been excluded from the identification process: NO names and scores of all relevant entities not excluded from the identification process (could be sent in a separate excel file, see 4.1) whether non-bank institutions have been included in the calculations: NO 																																																						
<p>4.3 Supervisory judgement</p>	<p>2 institutions have been identified through supervisory judgement (deposits guaranteed under deposit guarantee system with threshold of 350 scores):</p> <ul style="list-style-type: none"> Volksbank Wien AG (on consolidated basis of Volksbanken Verbund pursuant to Article 30a Austrian Banking Act) Erste Bank der oesterreichischen Sparkassen AG (individual basis) 																																																						
<p>4.4 Calibrating the O-SII buffer</p>	<p>With regard to the calibration methodology FMA and OeNB established three buckets with different buffer rates dependent on the score whereas every identified institution has to hold an O-SII buffer of at least 1 %:</p> <table border="1"> <thead> <tr> <th>Subcategory</th> <th>O-SII Buffer</th> <th>Scores</th> </tr> </thead> <tbody> <tr> <td>Bucket 3</td> <td>2.0 % CET1</td> <td>≥ 1.000</td> </tr> <tr> <td>Bucket 2</td> <td>1.5 % CET1</td> <td>637 – 999</td> </tr> <tr> <td>Bucket 1</td> <td>1.0 % CET1</td> <td>275 – 636</td> </tr> </tbody> </table> <p>The subcategories enable to differentiate the institutions depending on the score. In particular the difference between EGB, RBI UniCredit Bank Austria and all other identified institutions is very large and could be considered in the best way possible by the calibration.</p> <p>Institutions, which are identified via supervisory judgement, are assigned to Bucket 1.</p>	Subcategory	O-SII Buffer	Scores	Bucket 3	2.0 % CET1	≥ 1.000	Bucket 2	1.5 % CET1	637 – 999	Bucket 1	1.0 % CET1	275 – 636																																										
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<p>4.5 Effectiveness and proportionality of measure</p>	<p>The O-SII buffer aims to increase the risk-bearing capacity of the systemically important institutions in Austria. However in Austria a systemic risk buffer has been implemented since the beginning of 2016 and the higher of the respective systemic risk buffer and O-SII buffer shall be applied.</p>																																																						

5. Cross-border and cross-sector impact of the measure																											
5.1 Assessment of cross-border effects and the likely impact on the internal market (Recommendation ESRB/2015/2)	In line with the findings on the economic impact of the systemic risk buffer at the national level, cross-border effects are expected to be marginally positive.																										
5.2 Assessment of leakages and regulatory arbitrage within the notifying Member State	N/A																										
6. Combinations and interactions with other measures																											
6.1 Combinations between G-SII and O-SII buffers (Article 131.14)	N/A																										
6.2 Combinations with SRB buffers (Article 131.14 + Article 133.5)	<p>Are any of the institutions subject to a systemic risk buffer? YES</p> <p>If yes, please provide the following information:</p> <p>a. What is the level of the systemic risk buffer (in %) applied to the concerned institution</p> <p style="text-align: center;">List of identified institutions (consolidated)</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">consolidated</th> <th style="text-align: center;">01.01.2020</th> </tr> </thead> <tbody> <tr> <td>Erste Group Bank AG</td> <td style="text-align: center;">2,00%</td> </tr> <tr> <td>Raiffeisen Bank International AG</td> <td style="text-align: center;">2,00%</td> </tr> <tr> <td>UniCredit Bank Austria AG</td> <td style="text-align: center;">2,00%</td> </tr> <tr> <td>Raiffeisenlandesbank Oberösterreich Aktiengesellschaft</td> <td style="text-align: center;">1,00%</td> </tr> <tr> <td>RAIFFEISEN-HOLDING NIEDERÖSTERREICH-WIEN registrierte Genossenschaft mit beschränkter Haftung</td> <td style="text-align: center;">1,00%</td> </tr> <tr> <td>BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft</td> <td style="text-align: center;">1,00%</td> </tr> <tr> <td>Volksbank Wien AG</td> <td style="text-align: center;">1,00%</td> </tr> </tbody> </table> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">individual basis</th> <th style="text-align: center;">01.01.2020</th> </tr> </thead> <tbody> <tr> <td>Erste Group Bank AG</td> <td style="text-align: center;">2,00%</td> </tr> <tr> <td>Raiffeisen Bank International AG</td> <td style="text-align: center;">2,00%</td> </tr> <tr> <td>UniCredit Bank Austria AG</td> <td style="text-align: center;">1,00%</td> </tr> <tr> <td>Raiffeisenlandesbank Oberösterreich Aktiengesellschaft</td> <td style="text-align: center;">1,00%</td> </tr> </tbody> </table> <p>b. Is the systemic risk buffer applied to all exposures located in your Member State only? NO, the SRB is applied to all exposures.</p> <p>c. Is the systemic risk buffer applied at the same consolidation level as the O-SII buffer? YES</p>	consolidated	01.01.2020	Erste Group Bank AG	2,00%	Raiffeisen Bank International AG	2,00%	UniCredit Bank Austria AG	2,00%	Raiffeisenlandesbank Oberösterreich Aktiengesellschaft	1,00%	RAIFFEISEN-HOLDING NIEDERÖSTERREICH-WIEN registrierte Genossenschaft mit beschränkter Haftung	1,00%	BAWAG P.S.K. Bank für Arbeit und Wirtschaft und Österreichische Postsparkasse Aktiengesellschaft	1,00%	Volksbank Wien AG	1,00%	individual basis	01.01.2020	Erste Group Bank AG	2,00%	Raiffeisen Bank International AG	2,00%	UniCredit Bank Austria AG	1,00%	Raiffeisenlandesbank Oberösterreich Aktiengesellschaft	1,00%
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6.3 O-SII requirement for a subsidiary (Article 131.8)	<p>In case the O-SII is a subsidiary of an EU parent institution which is subject to a G-SII or O-SII buffer on a consolidated basis, what is the G-SII or O-SII buffer rate on a consolidated basis of the parent institution?</p> <p>UniCredit S.p.a.: G-SII / O-SII buffer 1 %</p> <p>For details pls see the decision of the Banca d'Italia.</p>
6.4 Interaction with other measures	<p>N/A</p>

7. Miscellaneous	
7.1 Contact person(s) at notifying authority	<p>Roland Salomon (roland.salomon@fma.gv.at) Lucas Grafl (lucas.grafl@fma.gv.at) Alexander Gruber (alexander.gruber@fma.gv.at)</p>
7.2 Any other relevant information	<p>N/A</p>