

Resolution No. 37/25
of the KDPW_CCP S.A. Management Board
dated 29 July 2025

**defining the scope of data necessary to assess clearing members' compliance with the
financial conditions in the clearing system (non-organised trading)**

Pursuant to § 2 subpara. 1 and 4, § 32 subpara. 2 of the Rules of Transaction Clearing (non-organised trading), and § 19 subpara. 2 of the KDPW_CCP S.A. Statute, the KDPW_CCP S.A. Management Board resolves as follows:

§ 1

The scope of data from among the financial information referred to in § 32 subpara. 1 point 3 of the Rules of Transaction Clearing (non-organised trading), necessary for KDPW_CCP S.A. to assess clearing members' compliance with the financial conditions, are set out in the appendix hereto.

§ 2

Resolution No. 16/22 of the KDPW_CCP S.A. Management Board dated 11 April 2022 defining the scope of data necessary to assess clearing members' compliance with the financial conditions in the clearing system (non-organised trading) shall become null and void.

§ 3

This Resolution shall come into force two weeks after its publication by the KDPW_CCP S.A. Management Board.

Maciej Trybuchowski
President of the Management Board

Marcin Truchanowicz
Member of the Management Board

*Appendix to Resolution
No 37/25 of the
KDPW_CCP S.A.
Management Board
dated 29 July 2025*

Scope of data necessary to assess clearing members' compliance with the financial conditions in the clearing system (non-organised trading)

I. Scope of data necessary to assess compliance with the financial conditions by a clearing member which is a domestic bank:

- 1) Reports specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451, drawn up in accordance with the following templates set out in Annex I (where the clearing member is obliged to submit the reports to the competent supervisory authorities):
 - a) Section 1: templates from 1 to 4 on an individual and consolidated basis,
 - b) Section 2 or Section 3: templates 1.1-1.3, 2, 3 on a consolidated basis.
- 2) Monthly financial information specified in the resolution of the Management Board of the National Bank of Poland issued on the basis of the Act of 29 August 1997 on the National Bank of Poland, specifying the procedure and detailed rules for the submission by banks of data necessary for the assessment of their financial situation and the stability and risk of the banking system, to the extent of information used to assess the financial situation of banks and their capital adequacy – form F 02.00 in the reporting package FINREP JEDNOSTKOWY.

II. Scope of data necessary to assess compliance with the financial conditions by a clearing member which is an investment firm:

- 1) Reports specified in Commission Implementing Regulation (EU) No 2021/2284 of 10 December 2021 laying down implementing technical standards for the application of Regulation (EU) 2019/2033 of the European Parliament and of the Council with regard to supervisory reporting and disclosures of investment firms, drawn up in accordance with the following templates (where the clearing member is obliged to submit the reports to the competent supervisory authorities):
 - a) Annex I: templates 1 (I 01.00), 2,1 (I 02.01) and 2,2 (I 02.02) on an individual and consolidated basis or Annex III: templates 1 (I 01.01), 2,3 (I 02.03) and 2,4 (I 02.04) on an individual and consolidated basis,
 - b) Annex VIII: templates 11,1 (I 11.01), 11,2 (I 11.02) and 11,3 (I 11.03).
- 2) Reports specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU)

No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451, drawn up in accordance with the following templates in Annex I (where the clearing member is obliged to submit the reports to the competent supervisory authorities):

- a) Section 1: templates from 1 to 4 on an individual and consolidated basis,
 - b) Section 2 or Section 3: templates 1.1-1.3, 2, 3 on a consolidated basis.
- 3) Monthly reports referred to in § 13 of the Regulation of the Minister of Finance of 20 September 2024 on the submission of information to the Polish Financial Supervision Authority by investment firms, state-owned banks conducting brokerage activities, banks referred to in Article 70(2) of the Act on Trading in Financial Instruments, and custodian banks.
- 4) Information on selected consolidated financial data referred to in § 21 of the Regulation of the Minister of Finance of 20 September 2024 on the submission of information to the Polish Financial Supervision Authority by investment firms, state-owned banks conducting brokerage activities, banks referred to in Article 70(2) of the Act on Trading in Financial Instruments, and custodian banks (where the clearing member is obliged to submit the information to the competent supervisory authorities).

III. Scope of data necessary to assess compliance with the financial conditions by a clearing member which is an entity with its registered office or head office outside the Republic of Poland, which has the status of a clearing member within the scope of its activities conducted in the form of a branch:

- 1) Reports specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451, drawn up in accordance with the following templates in Annex I (where the entity is obliged to submit the reports to the competent supervisory authorities):
- a) Section 1: templates from 1 to 4 on an individual and consolidated basis,
 - b) Section 2 or Section 3: templates 1.1-1.3, 2, 3 on a consolidated basis.
- 2) Reports specified in Commission Implementing Regulation (EU) No 2021/2284 of 10 December 2021 laying down implementing technical standards for the application of Regulation (EU) 2019/2033 of the European Parliament and of the Council with regard to supervisory reporting and disclosures of investment firms, drawn up in accordance with the following templates (where the entity is obliged to submit the reports to the competent supervisory authorities):
- a) Annex I: templates 1 (I 01.00), 2,1 (I 02.01) and 2,2 (I 02.02) on an individual and consolidated basis or Annex III: templates 1 (I 01.01), 2,3 (I 02.03) and 2,4 (I 02.04) on an individual and consolidated basis,
 - b) Annex VIII: templates 11,1 (I 11.01), 11,2 (I 11.02) and 11,3 (I 11.03).

- 3) Financial information containing the consolidated profit and loss account prepared and submitted to the competent supervisory authorities, unless the entity is obliged to submit such reports as specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451 (where the entity is obliged to submit the information to the competent supervisory authorities).
- 4) For a branch open in the Republic of Poland – additionally the financial information specified in the resolution of the Management Board of the National Bank of Poland issued on the basis of the Act of 29 August 1997 on the National Bank of Poland, specifying the procedure and detailed rules for the submission by banks of data necessary for the assessment of their financial situation and the stability and risk of the banking system, to the extent of information used to assess the financial situation of banks and their capital adequacy – form F 02.00 in the reporting package FINREP JEDNOSTKOWY (where the branch is obliged to prepare the form).

IV. Scope of data necessary to assess compliance with the financial conditions by a clearing member which is an entity with its registered office or head office outside the Republic of Poland, which has the status of a clearing member within the scope of its activities conducted without having the form of a branch:

- 1) Reports specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451, drawn up in accordance with the following templates set out in Annex I (where the clearing member is obliged to submit the reports to the competent supervisory authorities):
 - a) Section 1: templates from 1 to 4 on an individual and consolidated basis,
 - b) Section 2 or Section 3: templates 1.1-1.3, 2, 3 on a consolidated basis.
- 2) Reports specified in Commission Implementing Regulation (EU) No 2021/2284 of 10 December 2021 laying down implementing technical standards for the application of Regulation (EU) 2019/2033 of the European Parliament and of the Council with regard to supervisory reporting and disclosures of investment firms, drawn up in accordance with the following templates (where the clearing member is obliged to submit the reports to the competent supervisory authorities):
 - a) Annex I: templates 1 (I 01.00), 2,1 (I 02.01) and 2,2 (I 02.02) on an individual and consolidated basis or Annex III: templates 1 (I 01.01), 2,3 (I 02.03) and 2,4 (I 02.04) on an individual and consolidated basis,
 - b) Annex VIII: templates 11,1 (I 11.01), 11,2 (I 11.02) and 11,3 (I 11.03).
- 3) Financial information containing the consolidated profit and loss account prepared and submitted to the competent supervisory authorities, unless the entity is obliged to submit such reports as

specified in Commission Implementing Regulation (EU) No 2024/3117 of 29 November 2024 laying down implementing technical standards for the application of Regulation (EU) No 575/2013 of the European Parliament and of the Council with regard to supervisory reporting of institutions and repealing Commission Implementing Regulation (EU) 2021/451 (where the entity is obliged to submit the information to the competent supervisory authorities).