

Pursuant to Article 128c, paragraph 9 of the Law on Banks (RS Official Gazette, Nos 107/2005, 91/2010 and 14/2015) and Article 15a, paragraph 1 of the Law on the National Bank of Serbia (RS Official Gazette, Nos 72/2003, 55/2004, 85/2005 – other law, 44/2010, 76/2012, 106/2012, 14/2015 and 40/2015 – Constitutional Court decision), the Executive Board of the National Bank of Serbia adopts the following

**DECISION**  
**ON THE INFORMATION AND DATA SUBMITTED TO THE NATIONAL BANK**  
**OF SERBIA FOR THE PURPOSE OF DRAFTING AND UPDATING**  
**RESOLUTION PLANS OF BANKS AND BANKING GROUPS**

1. This Decision sets out the detailed contents of information and data which banks and legal entities which are the ultimate parent company in a banking group are obligated to submit to the National Bank of Serbia for the purpose of drafting and updating resolution plans of banks and banking groups, as well as the manner and terms of submission of such information and data.
2. Banks shall draft the following reports:
  - 1) List of persons responsible for providing data and information for the resolution plan – Form POL (Schedule 1);
  - 2) List of balance sheet assets and liabilities and off-balance sheet items associated with critical functions and key business activities – Form PAO (Schedule 2);
  - 3) List of participations in payment systems and financial instruments settlement systems – Form PSP (Schedule 3);
  - 4) List of key software components in the information system required for the execution of critical functions and key business activities – Form KSK (Schedule 4);
  - 5) List of capital instruments and subordinated liabilities of the bank – Form ISO (Schedule 5);
  - 6) List of eligible liabilities – Form POB (Schedule 6);
  - 7) List of eligible liabilities of the bank by remaining maturity – Form POB–ROK (Schedule 7);
  - 8) List of bank liabilities whose settlement is secured by pledge, financial collateral or other related right – Form OOB (Schedule 8);
  - 9) List of qualified eligible liabilities subject to foreign law or secured by a guarantee of the Republic of Serbia, or for which the Republic of Serbia is the creditor – Form SPG (Schedule 9);
  - 10) List of the structure of qualified eligible liabilities – Form KPO (Schedule 10);
  - 11) Report on minimum capital requirements and eligible liabilities – Form MKO (Schedule 11);

12) List of mutual connectedness – Form PMP (Schedule 12).

3. The ultimate parent company of a banking group which is subject to supervision on a consolidated basis by the National Bank of Serbia (hereinafter: the ultimate parent company of a banking group) shall draft the following reports from Section 2 of this Decision: Form POL (Schedule 1), Form PAO (Schedule 2), Form PSP (Schedule 3), Form KSK (Schedule 4), Form POB (Schedule 6), Form SPG (Schedule 9); Form KPO (Schedule 10), Form MKO (Schedule 11), Form PMP (Schedule 12).

In addition to reports from paragraph 1 of this Section, the ultimate parent company of a banking group shall also draft a report on total capital requirements and capital adequacy ratio of its subordinated company – bank with a head office outside of the Republic of Serbia – Form PAK–PDB (Schedule 13).

4. The contents of forms from Sections 2 and 3 of this Decision are defined in Schedules 1 to 13, which are printed herewith and are integral hereto.

5. A bank or the ultimate parent company of a banking group shall present accurate and complete information and data in reports from Sections 2 and 3 of this Decision, in accordance with regulations.

6. A bank or the ultimate parent company of a banking group shall submit to the National Bank of Serbia the reports from Sections 2 and 3 of this Decision in the format and the manner defined in the guidelines of the National Bank of Serbia regulating the electronic submission of data to the National Bank of Serbia for the purpose of drafting and updating resolution plans of banks and banking groups.

7. Banks shall submit the reports from Section 2, items 1) and 5–11) of this Decision to the National Bank of Serbia on a quarterly basis, as follows:

- reports for the first quarter, as at 31 March of the current year – by 30 April that year;
- reports for the second quarter, as at 30 June of the current year – by 30 July that year;
- reports for the third quarter, as at 30 September of the current year – by 30 October that year;
- reports for the fourth quarter, as at 31 December of the current year – by 5 March of the following year.

Banks shall submit the reports from Section 2, items 2), 3), 4) and 12) of this Decision to the National Bank of Serbia semi-annually, as follows:

- reports as at 30 June of the current year – by 30 July that year;
- reports as at 31 December of the current year – by 5 March of the following year.

8. The ultimate parent company of a banking group shall draft and submit reports from Section 3 of this Decision, as at 31 December or 30 June of the current year – by 31 May of the following or 30 September of the current year.

8a. The deadlines for the submission of the reports prescribed by this Decision may be extended to include public holidays, of which the National Bank of Serbia shall inform banks.

The deadlines for the submission of the reports prescribed by this Decision may be extended also in case of force majeure, of whose occurrence banks shall timely inform the National Bank of Serbia.

9. At a request of the National Bank of Serbia, banks, ultimate parent companies of a banking group and members of the banking group shall provide all the necessary assistance to the National Bank of Serbia, as well as additional information and data which it may need in the process of drafting and updating resolution plans.

10. For the purpose of updating resolution plans for a bank or a banking group, the National Bank of Serbia may require that the bank or the ultimate parent company of a banking group draft and submit the report from Sections 2 and 3 of this Decision within a deadline specified by the National Bank of Serbia in its request.

### **Transitional and final provision**

11. Reports from Section 2 of this Decision as at 30 June 2015 shall be submitted by banks to the National Bank of Serbia by no later than 30 days from the day this Decision comes into effect.

12. This Decision shall come into effect on the eighth day following its publication in the RS Official Gazette.

NBS Executive Board No 79  
10 September 2015  
Belgrade

Chairperson  
of the Executive Board  
of the National Bank of Serbia  
Governor  
of the National Bank of Serbia  
Dr Jorgovanka Tabaković