

Appendix 4

In this appendix underlining indicates new text and striking through indicates deleted text.



The DFSA Rulebook

Prudential – Investment, Insurance
Intermediation and
Banking Module

(PIB)

A2.4 Reporting to the DFSA

.....

Table 1 Authorised Firm Reporting Matrix

| Form Number | Form Name | Domestic Firm or Branch | Authorised Firm Category | Frequency | Semi-annual consolidated reporting for Financial Groups |
|-------------|--------------------------------------|--------------------------|-----------------------------|-------------------------------|---|
| ... | | | | | |
| B60 | <u>Capital Resources calculation</u> | <u>Domestic Firm</u> | <u>All Categories</u> | <u>Quarterly and annually</u> | <u>Category 1, 2 and 5</u> |
| ... | | | | | |
| B60C | Operational Risk | Domestic Firm | Category 1, 2, 3A, 3B and 5 | Quarterly and annually | Category 1, 2 and 5 |
| B60 | Capital Resources calculation | Domestic Firm | All Categories | Quarterly and annually | Category 1, 2 and 5 |
| ... | | | | | |
| B80 | Liquidity | Domestic Firm and Branch | Category 1, 2 and 5 | Quarterly only | Not applicable |

PRUDENTIAL – INVESTMENT, INSURANCE INTERMEDIATION AND BANKING (PIB)

| Form Number | Form Name | Domestic Firm or Branch | Authorised Firm Category | Frequency | Semi-annual consolidated reporting for Financial Groups |
|-------------|---|---------------------------------|---|-------------------------------|---|
| ... | | | | | |
| B100 | <u>Leverage Ratio Declaration by Authorised Firms</u> | Domestic Firm <u>and Branch</u> | Category 1, 2 and 5 <u>All Categories</u> | Quarterly and annually | Not applicable |
| B150 | Loans Restructured | Domestic Firm and Branch | Category 1, 2, <u>3A</u> and 5 | Quarterly and annually | Category 1 and 5 |
| <u>B300</u> | <u>Leverage Ratio</u> | <u>Domestic Firm</u> | <u>Category 1, 2 and 5</u> | <u>Quarterly and annually</u> | <u>Not applicable</u> |

.....

APP11 PUBLIC DISCLOSURE REQUIREMENTS

.....

Table 12 – Leverage Ratios

| | | |
|--------------------------|-----|---|
| Qualitative Disclosures | (a) | The source of material differences between the bank's total balance sheet assets in their financial statements and on-balance sheet exposures in the common disclosure template in Form B <u>3</u> 400. |
| Quantitative Disclosures | (b) | A comparison of the Authorised Firm's total accounting asset amounts and Leverage Ratio exposures using the summary comparison template in Form B <u>3</u> 400. |
| | (c) | A breakdown of the main Leverage Ratio regulatory elements using the common disclosure template in Form B <u>3</u> 400. |