

## Summary table of jurisdictional responses

Netherlands Second update to Level 1 assessment report – June 2015

	Principles/ Responsibilities	FMI Type	Rating	Status description / Next steps	Links to the measures
Netherlands	Principles	CCPs	(4, see EU)		
		PSs	(4, see EU/Euro area)		
		CSDs and SSSs	(4, see EU/Euro area)		
		TRs	(4, see EU)		
	Responsibilities	CCPs	4	De Nederlandsche Bank (DNB) and Netherlands Authority for the Financial Markets (AFM) have a legal capacity to implement the Responsibilities.	DNB and AFM – Dutch Act on Financial Supervision, Art 1:3a, 1:75, 1:76, Sec. 5, Art. 1:89 – 1:101 <a href="http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013</a> Addendum to the Act <a href="https://zoek.officielebekendmakingen.nl/stb-2012-567.html">https://zoek.officielebekendmakingen.nl/stb-2012-567.html</a> <a href="http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013</a> AFM and DNB – Law on Financial Supervision, Art 5:26 (legal basis for NL oversight on CCPs and CSDs serving regulated markets in the Netherlands) <a href="http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013</a>
		PSs	(4, see EU/Euro area)		

	CSDs and SSSs	4	DNB and AFM have a legal capacity to implement the Responsibilities.	<p>AFM – Securities Giro Act  <a href="http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013</a></p> <p>DNB – Bank Act for DNB, Art 4  <a href="http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013</a></p> <p>AFM and DNB – Law on Financial Supervision, Art 5:26  [see above for link]</p>
	TRs	(NA, see EU)		
Comments:				

Netherlands First update to Level 1 assessment report – May 2014

	Principles/ Responsibilities	FMI Type	Rating	Status description / Next steps	Links to the measures
Netherlands	Principles	CCPs	(4, see EU)		
		PSs	(4, see EU/Euro area)		
		CSDs and SSSs	(2, see EU)		
		TRs	(4, see EU)		
	Responsibilities	CCPs	4	De Nederlandsche Bank (DNB) and Netherlands Authority for the Financial Markets (AFM) have a legal capacity to implement the Responsibilities.	DNB and AFM – Dutch Act on Financial Supervision, Art 1:3a, 1:75, 1:76, Sec. 5, Art. 1:89 – 1:101 <a href="http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013</a> Addendum to the Act <a href="https://zoek.officielebekendmakingen.nl/stb-2012-567.html">https://zoek.officielebekendmakingen.nl/stb-2012-567.html</a> <a href="http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013</a> AFM and DNB – Law on Financial Supervision, Art 5:26 (legal basis for NL oversight on CCPs and CSDs serving regulated markets in the Netherlands) <a href="http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013</a>
		PSs	(4, see EU/Euro area)		

	CSDs and SSSs	4	DNB and AFM have a legal capacity to implement the Responsibilities.	<p>AFM – Securities Giro Act  <a href="http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013</a></p> <p>DNB – Bank Act for DNB, Art 4  <a href="http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013</a></p> <p>AFM and DNB – Law on Financial Supervision, Art 5:26  [see above for link]</p>
	TRs	(NA, see EU)		
Comments:				

Netherlands Level 1 assessment report – August 2013

	Principles/ Responsibilities	FMI Type	Rating	Status description / Next steps	Links to the measures
Netherlands	Principles	CCPs	(4, see EU)		
		PSs	(1, see EU/Euro area)		
		CSDs and SSSs	(2, see EU)		
		TRs	(4, see EU)		
	Responsibilities	CCPs	4	De Nederlandsche Bank (DNB) and Netherlands Authority for the Financial Markets (AFM) have a legal capacity to implement the Responsibilities.	DNB and AFM - Dutch Act on Financial Supervision, Art 1:3a, 1:75, 1:76, Sec. 5, Art. 1:89 - 1:101 <a href="http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0020368/1/geldigheidsdatum_19-06-2013</a>  Addendum to the Act <a href="https://zoek.officielebekendmakingen.nl/stb-2012-567.html">https://zoek.officielebekendmakingen.nl/stb-2012-567.html</a> <a href="http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013">http://wetten.overheid.nl/BWBR0026204/geldigheidsdatum_19-06-2013</a>  AFM and DNB - Law on Financial Supervision, Art 5:26 (legal basis for NL oversight on CCPs and CSDs serving regulated markets in the Netherlands) <a href="http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0020368/5/Hoofdstuk52/Afdeling521/Artikel526/geldigheidsdatum_27-06-2013</a>
		PSs	(4, see EU/Euro area)		

	CSDs and SSSs	4	DNB and AFM have a legal capacity to implement the Responsibilities.	<p>AFM - Securities Giro Act  <a href="http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0003109/geldigheidsdatum_27-06-2013</a></p> <p>DNB - Bank Act for DNB, Art 4  <a href="http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013">http://wetten.overheid.nl/BWBR0009508/geldigheidsdatum_27-06-2013</a></p> <p>AFM and DNB - Law on Financial Supervision, Art 5:26  [see above for link]</p>
	TRs	(NA, see EU)		
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