

<b>GENPRU 3 Ann 3G: Classification of groups (GENPRU 3.1.3G)</b>				<b>Form Ref:</b>	
<b>Part 1: General Information</b>					
A	Name of Group:				
B	Name of FCA supervisor				
C	Name of entity at head of the group				
D	Type of entity at head of the group (Select one of D1 or D2)				
	D1	Regulated entity country of authorisation			
		(a)	Credit institution		
		(b)	Investment firm		
		(c)	Insurance firm		
	D2	Non-regulated entity country of authorisation			
E	Year-end for group consolidation purposes				
<b>Part 2: Threshold information</b>					
F1	Is at least one of the entities in the group within the insurance sector and at least one in the banking/investment sector?			<input type="checkbox"/>	Yes
				<input type="checkbox"/>	No (go to Part 3)
F2	For D2 groups only: Enter the ratio of the balance sheet total of the financial sectors in the group to the balance sheet of the group as a whole. <i>Enter percentage in the box*</i>				
F3	What is the smallest financial sector?				
F4	Ratio of the balance sheet total of smallest financial sector to the balance sheet total of the financial sector entities within the group. <i>Enter percentage in the box*</i>				
F5	Ratio of the solvency requirement of the smallest financial sector to the solvency requirements of the total financial sector entities in the group. <i>Enter percentage in the box*</i>				

F6	What is the balance sheet total of the smallest financial sector (identified in F3) in the group?					
* see guidance notes on a recommended method of calculation.						
<b>Part 3: Conclusion on reason for becoming a financial conglomerate</b>						
G	Select <b>ONE</b> of the following based in the answers in sections 1 and 2					
	The answer to F1 is NO or if none of the following are met:		Z			Not a conglomerate
	the group is category D1 and the average of F4 and F5 is greater than 10%		i			Conglomerate headed by a regulated institution with significant cross-sector activities (GENPRU 3, Annex 4, Threshold test 2)
	the group is category D1 and the average of F4 and F5 is greater than 10% and F6 is greater than €6bn		ii			Possible conglomerate headed by a regulated institution with presumed significant cross-sector activities (GENPRU 3, Annex 4, Threshold test 3)
	the group is category D2 and the answer to F2 is greater than 40% and the average of F4 and F5 is greater than 10%		iii			Conglomerate headed by a non-regulated entity with significant cross-sector activities (GENPRU 3, Annex 4, Threshold tests 1 and 3)
	the group is category D2 and the answer to F2 is greater than 40% and the average of F4 and F5 is greater than 10% and F6 is greater than €6bn		iv			Possible conglomerate headed by non-regulated entity with presumed significant cross-sector activities (GENPRU 3, Annex 4, Threshold tests 1 and 3)
<b>Part 4: Other relevant information</b>						
H1	Who do you think should be the likely co-ordinator for the group? (See Regulation 1(2) of the Financial Conglomerates and Groups Regulations 2004 for a definition of 'co-ordinator')					
H2	Do you consider that balance sheet value and solvency requirements were an appropriate criterion to determine whether a group is financial and whether cross-sector activities exist? If not, do you consider there are other parameters (as					

	referred to in regulation 19(3) of the Financial Conglomerates and Groups Regulations 2004) that would be more appropriate?		
H3	Do you have any other relevant comments? (use continuation sheet if necessary)		