



Banc Ceannais na hÉireann  
Central Bank of Ireland

Eurosystem

# Transparency Regulatory Framework

## Questions and Answers

1st Edition - 25 November 2016

# Transparency Regulatory Framework - Questions and Answers

This document sets out answers to queries which may arise in relation to the Transparency (Directive 2004/109/EC) Regulations 2007, S.I. 277 of 2007, as amended, and the Central Bank's Transparency Rules. It is published in order to assist in limiting uncertainty and is not relevant to assessing compliance with regulatory requirements. In addition to being published in the Central Bank's 'Markets Update' it will be posted on the Central Bank website and will be updated there occasionally as required. You should check the website from time to time in relation to any matter of importance to you to see if the position on a query may have altered. The Central Bank reserves the right to alter its approach to any matter covered in this Q&A at any time.

In this document:

"Transparency Directive" refers to Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC. The Transparency Directive was amended inter alia by Directive 2013/50/EU.

"Transparency Regulations" refers to Transparency (Directive 2004/109/EC) Regulations 2007, S.I. 277 of 2007, as amended.

"ISE" refers to the Irish Stock Exchange plc.

"LEI" refers to a legal entity identifier.

"OAM" refers to the Officially Appointed Mechanism for the central storage of regulated information in each Member State required under the Transparency Directive.

"Transparency Rules" refers to the Rules issued by the Central Bank under Section 1383 of the Companies Act 2014.

## ID 1001

Q. I am seeking to comply with my reporting obligations under the Transparency Regulations. Where do I find the relevant reporting forms?

A. The relevant forms are available from the Central Bank's website [here](#).

## ID 1002

Q. I am seeking to comply with my obligations under the Transparency Regulations to file regulated information with the Central Bank. How do I submit the relevant information?

A. The forms should be submitted to the Central Bank as follows:

- the Standard Form TR-1 as published by issuers should be sent by the issuer by email to [tdcompliance@centralbank.ie](mailto:tdcompliance@centralbank.ie);
- the Standard Form TR-1 from holders of voting rights as sent to the issuer should be sent by email to [tdcompliance@centralbank.ie](mailto:tdcompliance@centralbank.ie);
- the Standard Form TR-2 from market makers should be sent by email to [tdcompliance@centralbank.ie](mailto:tdcompliance@centralbank.ie);
- the Standard Form for the Disclosure of home Member State should be sent to [regulateddisclosures@centralbank.ie](mailto:regulateddisclosures@centralbank.ie); and
- all other regulated information should be sent to [tdcompliance@centralbank.ie](mailto:tdcompliance@centralbank.ie).

A submission template must be submitted with each filing of regulated information. The submission templates and related instructions are set out on the Central Bank's [website](#).<sup>1</sup>

## ID 1003

Q. I am an issuer subject to the Transparency Regulations. Am I required to have a LEI for the filing of information with the ISE as OAM?

A. Commission Delegated Regulation (EU 2016/1437) provides that each OAM shall use LEIs as the unique identifiers for all issuers. From 1 January 2017 issuers will be requested to enter their LEI code, where available, when filing regulated information via the [ISEdirect system](#). Issuers that do not currently have an LEI code are advised to obtain one.

The Central Bank may introduce a specific obligation on issuers to obtain a LEI in the future.

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<sup>1</sup> This Q&A was updated on 01 March 2019 to reflect changes in the email addresses to which regulated information should be sent.

## ID 1004

Q. The Transparency Rules were updated on 4 November 2016. What changes were made?

A. The changes to the Transparency Rules effective 4 November 2016 further reflect the transposition of Directive 2013/50/EU. The Transparency Rules no longer provide exemptions from the requirement to notify issuers of significant share-holdings arising through stock-lending or stock-borrowing agreements.



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