

7. List of forms prescribed in respect of financial, risk-based and other related returns to be submitted to the Authority with indication of institution by which, intervals at which and period within which returns shall be submitted

Form number	Title/ description	Solo supervision					Consolidated supervision			
		Bank in Republic ¹	Foreign branches of South African banks ²	Bank legal entity ³	Foreign bank ⁴	Other operations ⁵	Bank consolidated ⁶	Sub-consolidation ⁷	Controlling company consolidated ⁸	
BA 099	Declaration in respect of statutory returns submitted ⁹	Whenever required as control sheet and for purpose of making required declarations								
BA 099A	Declaration in respect of statutory returns submitted by foreign operations ⁹									
BA 100	Balance sheet	Monthly ^{10b; 10h}		Monthly ^{10b; 10h}		In accordance with conditions specified by the Authority	Quarterly ^{10d; 10h}	In accordance with conditions specified by the Authority	Quarterly ^{10d; 10h}	
BA 110	Off-balance-sheet activities	Monthly ^{10b; 10h}		Monthly ^{10b; 10h}			Quarterly ^{10d; 10h}		Quarterly ^{10d; 10h}	
BA 120	Income statement	Monthly ^{10b; 10h}		Monthly ^{10b; 10h}			Quarterly ^{10d; 10h}		Quarterly ^{10d; 10h}	
BA 125	Return regarding shareholders			Annually ^{10f}	Annually ^{10f}				Annually ^{10f}	
BA 130	Restriction on investments, loans and advances	Quarterly ^{10c; 10h}								
BA 200	Credit risk: monthly return	Monthly ^{10c; 10h}								
BA 210	Credit risk: quarterly return	Quarterly ^{10c; 10h}								
BA 220	Credit risk: six-monthly return	Six-monthly ^{10h}								
BA 300	Liquidity risk	Monthly ^{10c; 10h}								
BA 310	Minimum reserve balance and liquid assets	Monthly ^{10b; 10h}								
BA 320	Market risk	Monthly ^{10c; 10h}								
BA 325	Daily return: selected risk exposure	Daily ^{10a; 10h}								
BA 330	Interest-rate risk: banking book	Monthly ^{10c; 10h}								
BA 340	Equity risk in the banking book	Monthly ^{10c; 10h}								
BA 350	Derivative instruments	Monthly ^{10c; 10h}								
BA 400	Operational risk: six-monthly return	Six-monthly ^{10e; 10h}								
BA 410	Operational risk: quarterly return	Quarterly ^{10c; 10h}					Quarterly ^{10d; 10h}		Quarterly ^{10d; 10h}	
BA 500	Securitisation schemes	Monthly ^{10c; 10h}								
BA 600	Consolidated return						Quarterly ^{10d; 10h}		Quarterly ^{10d; 10h}	
BA 610	Foreign operations of South African banks		Quarterly ^{10c; 10h}		Quarterly ^{10c; 10h}					
BA 700	Capital adequacy and leverage	Monthly ^{10c; 10h}				Quarterly ^{10d; 10h}	Quarterly ^{10d; 10h}			

- 1 Means the supervision of the South African operations of a bank incorporated in the Republic.
- 2 Means a bank conducting business as such outside the Republic, through the medium of a branch of a bank.
- 3 Means the supervision of a bank on a legal entity basis, that is, the combination of information of the relevant bank in the Republic and its relevant branches.
- 4 Means a bank or other entity conducting the business of a bank, which bank or entity is not located or incorporated in the Republic but is controlled by a bank or controlling company that is incorporated in the Republic, but does not include any branch of a bank.
- 5 Means any regulated or unregulated non-bank entity controlled by a bank or controlling company incorporated in the Republic.
- 6 Means the supervision on a consolidated basis of a bank incorporated in the Republic and its relevant branches, subsidiaries and associates, as envisaged in regulation 36.
- 7 Means the supervision on a sub-consolidated basis of a bank or controlling company and its relevant branches, subsidiaries and associates when the said bank or controlling company is a subsidiary of another bank or controlling company subject to the relevant requirements for consolidated supervision specified in these Regulations.
- 8 Means the supervision on a consolidated basis of a bank controlling company incorporated in the Republic and its relevant subsidiaries and associates, as envisaged in regulation 36.
- 9 Forms BA 099 and BA 099A are not prescribed financial returns, but shall be used as a control sheet and to furnish the required declarations regarding compliance and the maintenance of prescribed minimum balances.
- 10 The prescribed statements and returns shall be submitted within the periods specified below.
- a. Before 09:00 am on the second business day immediately following on the day to which the prescribed statement or return relates.
 - b. Within 15 business days immediately following on the month-end or quarter-end to which the prescribed statement or return relates.
 - c. Within 20 business days immediately following on the month-end or quarter-end to which the prescribed statement or return relates.
 - d. Within 30 business days immediately following on the month-end or quarter-end to which the prescribed statement or return relates.
 - e. Within 20 business days immediately following on the sixth month of the financial year or the date to which the annual financial statements relate.
 - f. Within 30 days of 31 December of each year.
 - g. Within 90 days immediately following on the date to which the annual financial statements relate.
 - h. Within 60 days immediately following on the sixth month of the financial year and within 90 days immediately following on the date to which the annual financial statements relate.
 - i. Within 20 business days of 30 June and 31 December of each year.

(Note: As an example, a reference to 10c; 10h in respect of a specific prescribed return means two independent submissions in respect of the specified return, interval and period.)