

GUIDELINES COMPLIANCE TABLE

Guidelines on standardised procedures and messaging protocols under Article 6(2) of Regulation (EU) No 909/2014 [ref. ESMA70-151-2906]

The following competent authorities comply or intend to comply with ESMA's Guidelines on standardized procedures and messaging protocols under Article 6(2) of Regulation (EU) No 909/2014:

	Competent authority	Complies or intends to comply	Comments
Member States			
AT	Austria Financial Market Authority (FMA)	Yes	<p>The links to the FMA website that show full compliance with all obligations stemming from the CSDR-Guidelines:</p> <p>ESMA-Leitlinien und andere Konvergenzinstrumente - FMA Österreich</p> <p>ESMA Guidelines and other Convergence Instruments - FMA Österreich</p>
BE	Belgium Financial Services and Markets Authority (FSMA) National Bank of Belgium (NBB)	Yes Yes	<p>The National Bank of Belgium (NBB) is compliant with the Guidelines on standardised procedures and messaging protocols under Article 6(2) of Regulation (EU) No 909/2014 and has implemented</p>

		Competent authority	Complies or intends to comply	Comments
				<p>them in its supervision via a circular of 30 June 2020 (NBB_2020_26). The circular is published on the NBB's website (in French and Dutch) :</p> <p>Link to French version : Circulaire NBB 2020_26 / Orientations de l'AEMF (ESMA70-151-2906) nbb.be</p> <p>Link to Dutch version : Circulaire NBB 2020_26 / ESMA-richtsnoeren (ESMA70-151-2906) nbb.be</p>
BG	Bulgaria	Financial Supervision Commission (FSC)	Yes	<p>The compliance with the guidelines is secured through their implementation in Ordinance № 8 adopted by the FSC. It is available via the link hereunder: https://www.fsc.bg/wp-content/uploads/2023/04/N_8_DV_36_2023-1.pdf</p>
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	<p>CySEC Circulars C486 and C387</p> <p>https://www.cysec.gov.cy/CMSPages/GetFile.aspx?guid=3db4cc49-34b8-4003-a8af-292a069d3f30</p> <p>https://www.cysec.gov.cy/CMSPages/GetFile.aspx?guid=a10cccf-3ae3-43ce-bb3b-1168790433d4</p>
CZ	Czech Republic	Czech National Bank (CNB)	Yes	<p>CNB provided a link to the part of the CNB website where information on ESMA guidelines is published https://www.cnb.cz/cs/dohled-financni-trh/legislativni-zakladna-obchodni-systemy-vyporadani-a-ochrana-trhu/metodicke-a-vykladove-materialy/</p>
DK	Denmark	Finanstilsynet	Yes	CSDR (finanstilsynet.dk)
DE	Germany	Bundesanstalt für Finanzdienstlei	Yes	

		Competent authority	Complies or intends to comply	Comments
		stungsaufsicht (BaFin)		
EE	Estonia	Estonian Financial Supervision Authority (FSA)	Yes	https://www.fi.ee/et/juhendid/investeerimine/suunised-maaruse-el-nr-9092014-artikli-6-loikes-2-nimetatud-standardprotseduuride-ja-sonumivahetuse
EL	Greece	Hellenic Capital Market Commission (HCMC)	Yes	HCMC has incorporated the GLs in its supervisory practice. http://www.hcmc.gr/en_US/web/portal/esmaguidelines
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	CNMV confirmed that no additional national measures were needed to implement ESMA's guidelines apart from the formal approval by CNMV of the decision to adopt each guideline. Additionally, the adopted guidelines are: <ul style="list-style-type: none"> • Considered in the authorisation, review, evaluation and supervision of the entities affected by these guidelines. • Published on CNMV's website under the Market Infrastructure section (https://www.cnmv.es/portal/Gpage.aspx?id=LegESMA&lang=en)
FI	Finland	Finanssivalvonta (FSA)	Yes	Ohjeet asetuksen (EU) N:o 909/2014 6 artiklan 2 kohdan mukaisista standardoiduista menettelyistä ja tietoliikenneprotokollista - - www.finanssivalvonta.fi

		Competent authority	Complies or intends to comply	Comments
FR	France	Autorité des Marchés Financiers (AMF)	Yes	
		Banque de France	Yes	
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes	

		Competent authority	Complies or intends to comply	Comments
HU	Hungary	Magyar Nemzeti Bank (MNB)	Yes	Mean of implementation: MNB recommendation (availability: in HUN only) - A Magyar Nemzeti Bank 15/2018. (IV.3.) számú ajánlása a központi értéktáraknak a résztvevők ellen indult fizetést korlátozó eljárások kezelésére vonatkozó szabályairól és eljárásairól. Available at https://www.mnb.hu/letoltes/15-2018-korlatozo-eljarasok.pdf
IE	Ireland	Central Bank of Ireland	Yes	A link to the guidelines is published in the section on CSDR on the CBol website: https://www.centralbank.ie/regulation/central-securities-depository-regulation-(csdr)
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Yes	https://www.consob.it/documenti/1912911/1979253/avvisi/20200528.pdf/bdd3e2e5-8822-5ffc-54cd-eea3849183af
LV	Latvia	Financial and Capital Market Commission (FCMC)	Yes	
LT	Lithuania	Bank of Lithuania	Yes	
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Yes	The CSSF has adopted a Circular embedding the text of the Guidelines and has published the integral version of the Circular on their website. In addition, the CSSF has published a table on the CSSF compliance with EBA and ESMA guidelines on the CSSF website as well. Circular CSSF 22/820
MT	Malta	Malta Financial Services	Yes	Part V, Section 5 (R5-5.2) 'Settlement Discipline' of the Financial Market Rules implements the Guidelines on

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		Authority (MFSA)		standardised procedures and messaging protocols under Article 6(2) of Regulation (EU) No 909/2014.
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	Yes	
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Yes	<p>KNF incorporated the guidelines into its supervisory practices.</p> <p>Link to Guidelines has been attached on the KNF website: https://www.knf.gov.pl/dla_rynku/regulacje_i_praktyka/Rozporzadzenie_CSDR.</p> <p>No additional national measures were needed to ensure compliance.</p>
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Yes	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Yes	
SE	Sweden	Finansinspektionen (FI)	Yes	<p>FI has published the guidelines on their website: https://www.fi.se/sv/marknad/regler/bors-clearing-och-vardepapperscentraler/internationella-riktlinjer/. The name in Swedish is <i>Riktlinjer för standardiserade förfaranden och protokoll för meddelanden enligt artikel 6.2 i förordning (EU) nr 909/2014</i>.</p>

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SI	Slovenia	Securities Market Agency (SMA)	Yes	<p>Decisions on the application of the guidelines have been published on the SMA website: https://www.atvp.si/pVxL0zn1N4qOTnRd/sklepi-o-uporabi-smernic</p>
SK	Slovakia	National Bank of Slovakia (NBS)	Yes	<p>NBS published on their website information about the guidelines together with an electronic link to its Slovak and English version:</p> <p>https://nbs.sk/dohlad-nad-financnym-trhom/legislativa/legislativa/detail-dokumentu/usmernenia-esma-z-6-aprila-2020-c-esma70-151-2906-o-standardizovanych-postupoch-a-protokoloch-zasielania-sprav-podla-clanku-6-ods-2-nariadenia-eu-c-909-2014/</p> <p>https://nbs.sk/en/dohlad-nad-financnym-trhom/legislativa/legislativa/detail-dokumentu/esma-guidelines-of-6-april-2020-no-esma70-151-2906-guidelines-on-standardised-procedures-and-messaging-protocols-under-article-62-of-regulation-eu-no-909-2014/</p> <p>By publishing guidelines on their website, they expect from their supervised entities to be in compliance with them.</p>

EEA EFTA States **

		Competent authority	Complies or intends to comply	Comments
IS	Iceland	Central Bank of Iceland	Yes	
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	Yes	FMA-Liechtenstein publishes all guidelines in their website under the following link: https://www.fma-li.li/de/regulierung/regulierung-en-der-europaischen-aufsichtsbehorden/guidelines.html
NO	Norway	Finanstilsynet	Yes	https://www.finanstilsynet.no/regelverk/esma-retningslinjer/esma-retningslinjer/retningslinjer-fra-esma-om-standardiserte-prosedyrer-for-kommunikasjon-etter-csdr-artikkel-62/

European Territories under Article 355(3) TFEU

* Please note that, in the interest of transparency, if a competent authority continues to intend to comply after the application date, it will be considered “non-compliant” unless (A) the guidelines or recommendations relate to a type of institution or instruments which do not currently exist in the jurisdiction concerned; or (B) legislative or regulatory proceedings have been initiated to bring any national measures necessary to comply with the guidelines or recommendations in force in the jurisdiction concerned.

**[Please select one of Options A, B or C below, depending on whether the underlying legal acts have been incorporated in the EEA Agreement.]

[Option A (all underlying legal acts have been incorporated in the EEA Agreement.)] The competent authorities of the EEA States other than the Member States of the European Union are required to notify their compliance with ESMA’s guidelines or recommendations relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on guidelines relating to Regulation (EU) No 909/2014, which has been incorporated in the EEA Agreement.

[Option B (none of the underlying legal acts have been incorporated in the EEA Agreement.)] The competent authorities of the EEA States other than the Member States of the European Union are required to notify their compliance with ESMA's guidelines or recommendations relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on guidelines relating to the Regulation (EU) No 909/2014, which has not yet been incorporated in the EEA Agreement. This table is therefore based on information provided from those competent authorities of the EEA States on a voluntary basis.

[Option C (some but not all of the underlying legal acts have been incorporated in the EEA Agreement).] The competent authorities of the EEA States other than the Member States of the European Union are required to notify their compliance with ESMA's guidelines or recommendations relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on guidelines relating to the Regulation (EU) No 909/2014, which has been incorporated in the EEA Agreement. This compliance table also reports on guidelines relating to the Regulation (EU) No 909/2014 which has not yet been incorporated in the EEA Agreement. This table is to that extent based on information provided from those competent authorities of the EEA States on a voluntary basis.

Notes

Article 16(3) of Regulation (EU) No 1095/2010 (the ESMA Regulation) requires national competent authorities to inform us whether they comply or intend to comply with each set of guidelines or recommendations we issue. If a competent authority does not comply or does not intend to comply it must inform us of the reasons. We decide on a case by case basis whether to publish reasons.

ESMA endeavours to ensure the accuracy of this document, however, the information is provided by the competent authorities and, as such, ESMA cannot accept responsibility for its content or any reliance placed on it.

For further information on the current position of any competent authority, please contact that competent authority. Contact details can be obtained from our website (www.esma.europa.eu).