



GUIDELINES COMPLIANCE TABLE

Guidelines on the implementation of the CPSS-IOSCO Principles for Financial Market Infrastructures in respect of Central Counterparties (ESMA/2014/1133)

The following competent authorities comply or intend to comply with ESMA Guidelines on the implementation of the CPSS-IOSCO Principles for Financial Market Infrastructures in respect of Central Counterparties

		Competent authority	Complies or intends to comply	Comments
Member States				
AT	Austria	Financial Market Authority (FMA)	Yes	
BE	Belgium	National Bank of Belgium	Intends to comply*	By the date a CCP exists in the jurisdiction
BG	Bulgaria	Financial Supervision Commission (FSC)	Intends to comply*	By the date a CCP exists in the jurisdiction
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Intends to comply*	By the date a CCP exists in the jurisdiction
CZ	Czech Republic	Czech National Bank (CNB)	Intends to comply*	By the date a CCP exists in the jurisdiction
DK	Denmark	Finanstilsynet	Intends to comply*	By the date a CCP exists in the jurisdiction
EE	Estonia	Finantsinspektsioon	Intends to comply*	By the date a CCP exists in the jurisdiction



		Competent authority	Complies or intends to comply	Comments
FI	Finland	Finanssivalvonta (FSA)	Intends to comply*	By the date a CCP exists in the jurisdiction
FR	France	Autorité des Marchés Financiers (AMF) Banque de France	Yes	
DE	Germany	BaFin	Yes	
GR	Greece	Hellenic Capital Market Commission (HCMC)	Yes	
HU	Hungary	Magyar Nemzeti Bank (MNB)	Yes	
IE	Ireland	Central Bank of Ireland	Intends to comply*	By the date a CCP exists in the jurisdiction
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB) Bank of Italy	Yes	
LV	Latvia	Financial and Capital Market Commission (FCMC)	Intends to comply*	By the date a relevant institution exists in the jurisdiction
LT	Lithuania	Bank of Lithuania	Intends to comply*	By the date a CCP exists in the jurisdiction
LU	Luxemburg	Commission de Surveillance du Secteur Financier (CSSF)	Intends to comply*	By the date a CCP exists in the jurisdiction
MT	Malta	Malta Financial Services Authority (MFSA)	Intends to comply*	By the date a CCP exists in the jurisdiction
NL	The Netherlands	De Nederlandsche Bank	Yes	
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Yes	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Yes	

		Competent authority	Complies or intends to comply	Comments
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Intends to comply*	By the date a CCP exists in the jurisdiction
SK	Slovakia	National Bank of Slovakia (NBS)	Intends to comply*	By the date a CCP exists in the jurisdiction
SI	Slovenia	Securities Market Agency (SMA)	Intends to comply*	By the date a CCP exists in the jurisdiction
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
SE	Sweden	Finansinspektionen (FI)	Yes	
EEA EFTA States **				
IS	Iceland	Central Bank of Iceland	Intends to comply*	By the date a CCP exists in the jurisdiction
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	Intends to comply*	By the date a CCP exists in the jurisdiction
NO	Norway	Finanstilsynet	Intends to comply*	By the date a CCP exists in the jurisdiction

* 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 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 in force in the jurisdiction concerned.

** 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 relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on Guidelines



relating to EMIR [Regulation (EU) No 648/2012], which has been incorporated in the EEA Agreement.

Notes

Article 16(3) of the ESMA Regulation requires national competent authorities to inform us whether they comply or intend to comply with each guideline or recommendation we issue. If a competent authority does not comply or does not intend to comply it must inform us of the reasons. ESMA decides on a case by case basis whether to publish reasons.

Updates of this compliance table will be published accordingly when necessary.

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 contents 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).