

12 January 2021 ESMA70-145-1345

GUIDELINES COMPLIANCE TABLE

ESMA70-145-1345

12 January 2021

Guidelines on transaction reporting, order record keeping and clock synchronization under MiFID II (ESMA/2016/1452).

The following competent authorities comply or intend to comply with ESMA Guidelines on transaction reporting, order record keeping and clock synchronization under MiFID II:

		Competent authority	Complies or intends to comply	Comments
AT	Austria	Financial Market Authority (FMA)	Yes	
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Yes	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	



		Competent authority	Complies or intends to comply	Comments
CZ	Czech Republic	Czech National Bank (CNB)	Yes	
DK	Denmark	Finanstilsynet	Yes	
		Bundesanstalt		
		für	Yes	
DE	Germany	Finanzdienstlei stungsaufsicht (BaFin)		
		Estonian		
FF	F otonia	Financial	Vee	
EE	Estonia	Supervision	Yes	
		Authority (FSA)		
		Hellenic	Yes	
EL	Greece	Capital Market		
		Commission (HCMC)		
		Comisión	Yes	
ES	Spain	Nacional del		
LU	Spain	Mercado de		
		Valores (CNMV)		
FI	Finland	Finanssivalvonta (FSA)	Yes	
	France	Autorité des	Yes	
FR		Marchés		
		Financiers (AFM)		
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga	Yes	
	Hungary	Magyar	Yes	
HU		Nemzeti Bank (MNB)		
IE	Ireland	Central Bank of Ireland (CBI)	Yes	
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Yes	



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 MT Malta Services Yes MT Malta Services Yes MI Netherlands Authority (MFSA) Yes NL Netherlands Authority (MFSA) Yes PL Poland Nadzoru Financial Markets (AFM) Yes PL Poland Nadzoru Financial Markets (AFM) Yes Romania Comissão do Mercado de Valores Yes Mobiliários (CMVM) Mercado de Valores Yes Romania Financial Supervisory Authority (ASF) Yes SE Sweden Finansipsekti onen (FI) Yes SI Slovenia Agencija za trg vrednostnih papirjev (ATVP) Yes SK Slovakia National Bank of Slovakia (MBS) Yes			Competent authority	Complies or intends to comply	Comments
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IS looland	EEA EFTA States*				
	IS	Iceland			-



		Competent authority	Complies or intends to comply	Comments
				MiFID II into the EEA Agreement
LI	Liechtenstein	Finanzmarktauf sicht	Yes	
NO	Norway	Finanstilsynet	Intends to comply	Pending incorporation of MiFID II into the EEA Agreement
GB	United Kingdom	Financial Conduct Authority (FCA) ¹	Yes	

* 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 MiFID II, which has not yet been incorporated in the EEA Agreement. This table is based on information provided from those EEA States on a voluntary basis.

** 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.

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 Guideline or recommendation we issue. If a competent

¹ The United Kingdom formally left the EU on 31 January 2020, following which the withdrawal agreement entered into force. The withdrawal agreement marked the start of a transition period which lasted until 31 December 2020, whereby the UK was no longer an EU Member State but EU law continued to apply to it. The compliance status recorded in this table for the competent authority of the United Kingdom therefore reflects their compliance status as at 31 December 2020 and is retained for the purpose of historical information. Please note that, from 1 January 2021, EU law no longer applies to those competent authorities.



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 (<u>www.esma.europa.eu</u>)