

NOTE

Contact points of national supervisory authorities for communication in the MiFID II framework on supervisory cooperation, authorisation, acquisitions and passporting

Overview

- 1. This document provides information on contact points of national competent authorities (NCAs) to facilitate communication on the topics of:
 - Cooperation and exchange of information between NCAs¹
 - Consultation of other competent authorities prior to the authorisation of an investment firm²
 - Consultation process between relevant competent authorities in relation to proposed acquisition of a qualifying holding in an investment firm³
 - Passporting of investment services⁴
- 2. The information has been provided by the NCAs and is collated in **Annex I**. The information included in the Annex will be updated by ESMA to reflect any changes to the relevant detail and will be communicated to all NCAs. NCAs should inform ESMA of any changes to the details in the Annex in a timely manner.

¹ See Article 1 of Commission Implementing Regulation (EU) 2017/980

² See Article 1 of <u>Commission Implementing Regulation (EU) 2017/981</u>

³ See Article 2 of Commission Implementing Regulation (EU) 2017/1944

⁴ See Article 2(2) of Commission Implementing Regulation (EU) 2017/2382



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<u>Austria</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Austrian Financial Market Authority
Name of Department/Unit	International and Legislative Affairs
Address	Otto Wagner Platz 5, 1090 Vienna

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Austrian Financial Market Authority
Name of Department/Unit	Investment Firms and Financial Innovations
Address	Otto Wagner Platz 5, 1090 Vienna

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	Austrian Financial Market Authority
Name of Department/Unit	Investment Firms and Financial Innovations
Address	Otto Wagner Platz 5, 1090 Vienna



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Austrian Financial Market Authority
Name of Department/Unit	Passporting investment Firms: Unit Investment Firms Passporting credit institutions: Unit Integrated Conduct Supervision of Banks
Address	Otto Wagner Platz 5, 1090 Vienna



<u>Belgium</u>

Contact point details for the purposes of 'cooperation and exchange of information between national compfetent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	FSMA
Name of Department/Unit	Prudential supervision of UCI and AIF management companies and of portfolio management and investment advice companies
Address	Rue du Congrès 12-14, 1000 Brussels, Belgium

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	FSMA
Name of Department/Unit	Prudential supervision of UCI and AIF management companies and of portfolio management and investment advice companies
Address	Rue du Congrès 12-14, 1000 Brussels, Belgium



Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	FSMA
Name of Department/Unit	Prudential supervision of UCI and AIF management companies and of portfolio management and investment advice companies
Address	Rue du Congrès 12-14, 1000 Brussels, Belgium

Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	FSMA
Name of Department/Unit	Prudential supervision of UCI and AIF management companies and of portfolio management and investment advice companies
Address	Rue du Congrès 12-14, 1000 Brussels, Belgium



<u>Bulgaria</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Financial Supervision Commission (FSC)
Name of Department/Unit	Investment Supervision Division
Address	16 Budapeshta str., 1000 Sofia, Bulgaria

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Financial Supervision Commission (FSC)
Name of Department/Unit	Investment Supervision Division
Address	16 Budapeshta str., 1000 Sofia, Bulgaria

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Financial Supervision Commission (FSC)
Name of Department/Unit	Investment Supervision Division
Address	16 Budapeshta str., 1000 Sofia, Bulgaria



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Financial Supervision Commission (FSC)
Name of Department/Unit	Investment Supervision Division
Address	16 Budapeshta str., 1000 Sofia, Bulgaria



<u>Croatia</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Croatian Financial Services Supervisory Agency (HANFA)
Name of Department/Unit	Regulatory Harmonisation and International Cooperation Division
Address	Račkoga 6, 10000 Zagreb, Croatia

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Croatian Financial Services Supervisory Agency (HANFA)
Name of Department/Unit	Regulatory Harmonisation and International Cooperation Division
Address	Račkoga 6, 10000 Zagreb, Croatia

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Croatian Financial Services Supervisory Agency (HANFA)
Name of Department/Unit	Regulatory Harmonisation and International Cooperation Division
Address	Račkoga 6, 10000 Zagreb, Croatia



Contact point details for the purposes of 'passporting' [Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Croatian Financial Services Supervisory Agency (HANFA)
Name of Department/Unit	Regulatory Harmonisation and International Cooperation Division
Address	Račkoga 6, 10000 Zagreb, Croatia



Cyprus

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'		
[Commission Implementing	[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Central Bank of Cyprus (Only for inquiries on information related to credit institutions)	
Name of Department/Unit	Supervisory Approvals Department/Authorisations Section	
Address	80 Kennedy Avenue, Nicosia 1076, Cyprus	

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA Cyprus Securities and Exchange Commission	
Name of Department/Unit	Department of Strategy, International Relations and Communications
Address	19 Diagorou Street, 1097 Nicosia, Cyprus

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'		
[Commission Implementing	[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Central Bank of Cyprus (Only for inquiries on information related to credit institutions)	
Name of Department/Unit	Supervisory Approvals Department/Authorisations Section	
Address	80 Kennedy Avenue, Nicosia 1076, Cyprus	



Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Cyprus Securities and Exchange Commission
Name of Department/Unit	Department of Strategy, International Relations and Communications
Address	19 Diagorou Street, 1097 Nicosia, Cyprus

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

[Commission Implementing Regulation (EU) 2017/1944]

Name of the NCA	Central Bank of Cyprus (Only for inquiries on information related to credit institutions)
Name of Department/Unit	Supervision Division
Address	80 Kennedy Avenue, Nicosia 1076, Cyprus

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	Cyprus Securities and Exchange Commission
Name of Department/Unit	Department of Strategy, International Relations and Communications
Address	19 Diagorou Street, 1097 Nicosia, Cyprus



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Central Bank of Cyprus (Only for inquiries on information related to credit institutions)
Name of Department/Unit	Supervisory Approvals/Authorisations Section
Address	80 Kennedy Avenue, Nicosia 1076, Cyprus

Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Cyprus Securities and Exchange Commission
Name of Department/Unit	Authorisations Department
Address	27 Diagorou Street, 1097 Nicosia, Cyprus



Czech Republic

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Czech National Bank
Name of Department/Unit	Financial Market Regulation and International Cooperation Department – International Cooperation on Financial Market Division
Address	Na Příkopě 28, 115 03 Praha 1, Czech Republic

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'		
[Commission Implementing	[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Czech National Bank	
Name of Department/Unit	Financial Market Supervision Department II – Investment Firms Supervision and Securities Division (for investment firms) Financial Market Supervision Department – Administrative Proceedings Division (for credit institutions)	
Address	Na Příkopě 28, 115 03 Praha 1, Czech Republic	

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Czech National Bank
Name of Department/Unit	Financial Market Supervision Department II – Investment Firms Supervision and Securities Division (for investment firms) Financial Market Supervision Department – Administrative Proceedings Division (for credit institutions)



Address

Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Czech National Bank
Name of Department/Unit	Financial Market Supervision Department II – Investment Firms Supervision and Securities Division (for investment firms) Financial Market Supervision Department – Administrative Proceedings Division (for credit institutions)
Address	Na Příkopě 28, 115 03 Praha 1, Czech Republic



Denmark

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Danish Financial Supervisory Authority (the Danish FSA)
Name of Department/Unit	Department of Investor Protection
Address	Strandgade 29 1401 Copenhagen

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Danish Financial Supervisory Authority (the Danish FSA)
Name of Department/Unit	Department of Investor Protection
Address	Strandgade 29 1401 Copenhagen

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Danish Financial Supervisory Authority (the Danish FSA)
Name of Department/Unit	Department of Investor Protection
Address	Strandgade 29 1401 Copenhagen



Contact point details for the purposes of 'passporting' [Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Danish Financial Supervisory Authority (the Danish FSA)
Name of Department/Unit	Department of Investor Protection
Address	Strandgade 29 1401 Copenhagen



Estonia

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Finantsinspektsioon
Name of Department/Unit	Administrative Services Department
Address	Sakala 4, Tallinn, 15030, Estonia

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Finantsinspektsioon
Name of Department/Unit	Administrative Services Department; Corporate Governance Department
Address	Sakala 4, Tallinn, 15030, Estonia

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	Finantsinspektsioon
Name of Department/Unit	Corporate Governance Department
Address	Sakala 4, Tallinn, 15030, Estonia



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Finantsinspektsioon
Name of Department/Unit	Financial Services Supervision Department
Address	Sakala 4, Tallinn, 15030, Estonia



Finland

Address

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Finanssivalvonta (FIN-FSA)
Name of Department/Unit	Capital Markets Supervision
Address	Snellmaninkatu 6, P.O. Box 103, FI-00101 Helsinki, Finland

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Finanssivalvonta (FIN-FSA)
Name of Department/Unit	Capital Markets Supervision/Investment Products and Services
Address	Snellmaninkatu 6, P.O. Box 103, FI-00101 Helsinki, Finland

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Finanssivalvonta (FIN-FSA)
Name of Department/Unit	Capital Markets Supervision/Investment Products and Services

Snellmaninkatu 6, P.O. Box 103, FI-00101 Helsinki, Finland



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Finanssivalvonta (FIN-FSA)
Name of Department/Unit	Capital Markets Supervision/Investment Products and Services
Address	Snellmaninkatu 6, P.O. Box 103, FI-00101 Helsinki, Finland



France

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Autorité des Marchés Financiers
Name of Department/Unit	International Cooperation Unit, Investigation and Inspection Division
Address	17, place de la Bourse 75082 Paris cedex 2, France

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Autorité de Contrôle Prudentiel et de Résolution
Name of Department/Unit	-
Address	-

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	Autorité de Contrôle Prudentiel et de Résolution
Name of Department/Unit	-
Address	-



Contact point details for the purposes of 'passporting' [Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Autorité de Contrôle Prudentiel et de Résolution
Name of Department/Unit	-
Address	-



Germany

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Financial Supervisory Authority)
Name of Department/Unit	Division WA 44
Address	Marie-Curie-Strasse 24-28 60439 Frankfurt am Main Germany

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Financial Supervisory Authority)
Name of Department/Unit	Division WA 44
Address	Marie-Curie-Strasse 24-28 60439 Frankfurt am Main Germany

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Financial Supervisory Authority)
Name of Department/Unit	Division WA 44
Address	Marie-Curie-Strasse 24-28 60439 Frankfurt am Main

Germany



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Financial Supervisory Authority)
Name of Department/Unit	Division WA 44
Address	Marie-Curie-Strasse 24-28 60439 Frankfurt am Main Germany



<u>Greece</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Hellenic Capital Market Commission (HCMC)
Name of Department/Unit	Directorate of International Relations
Address	3-5 Ippokratous Str, 10679 Athens, Greece

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Hellenic Capital Market Commission (HCMC)
Name of Department/Unit	Directorate of International Relations
Address	3-5 Ippokratous Str, 10679 Athens, Greece

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Hellenic Capital Market Commission (HCMC)
Name of Department/Unit	Directorate of International Relations
Address	3-5 Ippokratous Str, 10679 Athens, Greece



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Hellenic Capital Market Commission (HCMC)
Name of Department/Unit	Directorate of International Relations
Address	3-5 Ippokratous Str, 10679 Athens, Greece

Contact point details for the purposes of 'passporting' regarding credit institutions		
[Commission Implementing	[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Bank of Greece Bank of Greece is the competent authority in relation to the passport notifications of credit institutions under MiFID II	
Name of Department/Unit	Banking Supervision Department	
Address	21 E. Venizelos Avenue, GR 102 50, Athens, Greece	



Hungary

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Central Bank of Hungary (MNB)
Name of Department/Unit	Department of Capital Markets Supervision
Address	H-1122 Budapest, Krisztina krt. 6.

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Central Bank of Hungary (MNB)
Name of Department/Unit	Financial and Capital Markets Licensing Department
Address	H-1122 Budapest, Krisztina krt. 6.

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Central Bank of Hungary (MNB)
Name of Department/Unit	Financial and Capital Markets Licensing Department
Address	H-1122 Budapest, Krisztina krt. 6.



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Central Bank of Hungary (MNB)
Name of Department/Unit	Financial and Capital Markets Licensing Department
Address	H-1122 Budapest, Krisztina krt. 6.



<u>lceland</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Central Bank of Iceland
Name of Department/Unit	Markets and conduct
Address	Kalkofnsvegur 1, 101 Reykjavík

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Central Bank of Iceland
Name of Department/Unit	Compliance and Inspections
Address	Kalkofnsvegur 1, 101 Reykjavík

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

Name of the NCA	Central Bank of Iceland
Name of Department/Unit	Compliance and Inspections
Address	Kalkofnsvegur 1, 101 Reykjavík



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Central Bank of Iceland
Name of Department/Unit	Compliance and Inspections
Address	Kalkofnsvegur 1, 101 Reykjavík



<u>Ireland</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Central Bank of Ireland
Name of Department/Unit	Investment Firms and Retail Intermediaries Division Capital Markets & Funds Directorate
Address	New Wapping Street, North Wall Quay, Dublin 1, Ireland

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA Central Bank of Ireland	
Name of Department/Unit	Investment Firms and Retail Intermediaries Division Capital Markets & Funds Directorate
Address	New Wapping Street, North Wall Quay, Dublin 1, Ireland

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Central Bank of Ireland
Name of Department/Unit	Investment Firms and Retail Intermediaries Division Capital Markets & Funds Directorate
Address	New Wapping Street, North Wall Quay, Dublin 1, Ireland



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Central Bank of Ireland
Name of Department/Unit	Investment Firms and Retail Intermediaries Division Capital Markets & Funds Directorate
Address	New Wapping Street, North Wall Quay, Dublin 1, Ireland



<u>Italy</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	CONSOB
Name of Department/Unit	International Relations Unit
Address	Via G. B. Martini, 3 00198 Rome Italy

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	CONSOB
Name of Department/Unit	International Relations Unit
Address	Via G. B. Martini, 3 00198 Rome Italy

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	CONSOB
Name of Department/Unit	International Relations Unit
Address	Via G. B. Martini, 3 00198 Rome Italy



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	CONSOB
Name of Department/Unit	International Relations Unit
Address	Via G. B. Martini, 3 00198 Rome Italy



<u>Latvia</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Latvijas Banka
Name of Department/Unit	Licensing and Sanctions Department
Address	K. Valdemāra iela 2A, Rīga, LV-1050

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Latvijas Banka
Name of Department/Unit	Licensing and Sanctions Department, Capital Market Supervision Department
Address	K. Valdemāra iela 2A, Rīga, LV-1050

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'		
[Commission Implementing Regulation (EU) 2017/1944]		
Name of the NCA	Latvijas Banka	
Name of Department/Unit	Licensing and Sanctions Department	
Address	K. Valdemāra iela 2A, Rīga, LV-1050	



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Latvijas Banka
Name of Department/Unit	Licensing and Sanctions Department
Address	K. Valdemāra iela 2A, Rīga, LV-1050



Liechtenstein

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Liechtenstein Financial Market Authority
Name of Department/Unit	Asset Management and Markets Division
Address	Landstrasse 109, P.O. Box 279, 9490 Vaduz, Liechtenstein

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Liechtenstein Financial Market Authority
Name of Department/Unit	Asset Management and Markets Division
Address	Landstrasse 109, P.O. Box 279, 9490 Vaduz, Liechtenstein

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Liechtenstein Financial Market Authority
Name of Department/Unit	Asset Management and Markets Division
Address	Landstrasse 109, P.O. Box 279, 9490 Vaduz, Liechtenstein



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Liechtenstein Financial Market Authority
Name of Department/Unit	Asset Management and Markets Division
Address	Landstrasse 109, P.O. Box 279, 9490 Vaduz, Liechtenstein



<u>Lithuania</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Bank of Lithuania
Name of Department/Unit	Investment Services and Undertakings Supervision Division Financial Services and Markets Supervision Department
Address	Žalgirio g. 90, LT-09323 Vilnius, Lithuania

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Bank of Lithuania
Name of Department/Unit	Licensing Division Prudential Supervision Department Supervision Service
Address	Žalgirio g. 90, LT-09323 Vilnius, Lithuania



Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'

[Commission Implementing Regulation (EU) 2017/1944]

Name of the NCA	Bank of Lithuania
Name of Department/Unit	Licensing Division Prudential Supervision Department Supervision Service
Address	Žalgirio g. 90, LT-09323 Vilnius, Lithuania

Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Bank of Lithuania
Name of Department/Unit	Licensing Division Prudential Supervision Department Supervision Service
Address	Žalgirio g. 90, LT-09323 Vilnius, Lithuania



Luxembourg

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Commission de Surveillance du Secteur Financier (CSSF)
Name of Department/Unit	Executive Board Secretariat
Address	283, route d'Arlon L-1150 Luxembourg

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Commission de Surveillance du Secteur Financier (CSSF)
Name of Department/Unit	Executive Board Secretariat
Address	283, route d'Arlon L-1150 Luxembourg

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Commission de Surveillance du Secteur Financier (CSSF)
Name of Department/Unit	Executive Board Secretariat
Address	283, route d'Arlon L-1150 Luxembourg



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Commission de Surveillance du Secteur Financier (CSSF)
Name of Department/Unit	Executive Board Secretariat
Address	283, route d'Arlon L-1150 Luxembourg



<u>Malta</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Malta Financial Services Authority
Name of Department/Unit	Investment Services Supervision & Conduct Supervision
Address	Mdina Road, Zone 1, Central Business District, CBD 1010, Birkirkara, Malta

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Malta Financial Services Authority
Name of Department/Unit	Investment Services Supervision
Address	Mdina Road, Zone 1, Central Business District, CBD 1010, Birkirkara, Malta

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Malta Financial Services Authority
Name of Department/Unit	Investment Services Supervision
Address	Mdina Road, Zone 1, Central Business District, CBD 1010, Birkirkara, Malta



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Malta Financial Services Authority
Name of Department/Unit	Investment Services Supervision
Address	Mdina Road, Zone 1, Central Business District, CBD 1010, Birkirkara, Malta



Netherlands

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	AFM
Name of Department/Unit	Legal Department/ Juridische Zaken
Address	Vijzelgracht 50, P.O.Box 11723, 1001 GS Amsterdam

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	AFM
Name of Department/Unit	Legal Department/ Juridische Zaken
Address	Vijzelgracht 50, P.O.Box 11723, 1001 GS Amsterdam

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	AFM
Name of Department/Unit	Legal Department/ Juridische Zaken
Address	Vijzelgracht 50, P.O.Box 11723, 1001 GS Amsterdam



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	AFM
Name of Department/Unit	Asset Management (AM)
Address	Vijzelgracht 50, P.O.Box 11723, 1001 GS Amsterdam



Norway

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	The Financial Supervisory Authority of Norway (Finanstilsynet)
Name of Department/Unit	Capital Markets Supervision/Investment Firms Section
Address	Revierstredet 3, 0107 Oslo, Norway

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	The Financial Supervisory Authority of Norway (Finanstilsynet)
Name of Department/Unit	Capital Markets Supervision/Investment Firms Section
Address	Revierstredet 3, 0107 Oslo, Norway

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	The Financial Supervisory Authority of Norway (Finanstilsynet)
Name of Department/Unit	Capital Markets Supervision/Investment Firms Section
Address	Revierstredet 3, 0107 Oslo, Norway



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	The Financial Supervisory Authority of Norway (Finanstilsynet)
Name of Department/Unit	Capital Markets Supervision/Investment Firms Section
Address	Revierstredet 3, 0107 Oslo, Norway



Poland

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
	ig Negulation (EO) 2017/900]
Name of the NCA	Polish Financial Supervision Authority (Komisja Nadzoru Finansowego)
Name of Department/Unit	International Cooperation Department (Departament Współpracy Międzynarodowej)
Address	ul. Piękna 20 00-549 Warsaw

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Polish Financial Supervision Authority (Komisja Nadzoru Finansowego)
Name of Department/Unit	International Cooperation Department (Departament Współpracy Międzynarodowej)
Address	ul. Piękna 20 00-549 Warsaw

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Polish Financial Supervision Authority (Komisja Nadzoru Finansowego)
Name of Department/Unit	International Cooperation Department (Departament Współpracy Międzynarodowej)
Address	ul. Piękna 20 00-549 Warsaw



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Polish Financial Supervision Authority (Komisja Nadzoru Finansowego)
Name of Department/Unit	Investment Firms Department (Departament Firm Inwestycyjnych)
Address	ul. Piękna 20 00-549 Warsaw



<u>Portugal</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	CMVM / Portugal
Name of Department/Unit	Regulatory Policy and International Affairs Department
Address	Rua Laura Alves, n.º 4, 1050-138 Lisbon

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA CMVM / Portugal	
Name of Department/Unit	Authorisation and Registration Department
Address	Rua Laura Alves, n.º 4, 1050-138 Lisbon

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm' [Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	CMVM / Portugal
Name of Department/Unit	Authorisation and Registration Department
Address	Rua Laura Alves, n.º 4, 1050-138 Lisbon



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	CMVM / Portugal
Name of Department/Unit	Authorisation and Registration Department
Address	Rua Laura Alves, n.º 4, 1050-138 Lisbon



Romania

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	ROMANIAN FINANCIAL SUPERVISORY AUTHORITY
Name of Department/Unit	STRATEGY AND FINANCIAL STABILITY DEPARTMENT - European Affairs and International Relations Unit
Address	15, SPLAIUL INDEPENDENTEI, SECTOR 5, BUCHAREST, ROMANIA, 050092

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	ROMANIAN FINANCIAL SUPERVISORY AUTHORITY
Name of Department/Unit	REGULATION AND LICENSING DEPARTMENT/ Intermediaries & Market Institutions Licensing and Monitoring Unit
Address	15, SPLAIUL INDEPENDENTEI, SECTOR 5, BUCHAREST, ROMANIA, 050092

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	ROMANIAN FINANCIAL SUPERVISORY AUTHORITY
Name of Department/Unit	REGULATION AND LICENSING DEPARTMENT / Intermediaries & Market Institutions Licensing and Monitoring Unit
Address	15, SPLAIUL INDEPENDENTEI, SECTOR 5, BUCHAREST, ROMANIA, 050092



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	ROMANIAN FINANCIAL SUPERVISORY AUTHORITY
Name of Department/Unit	REGULATION AND LICENSING DEPARTMENT / Intermediaries & Market Institutions Licensing and Monitoring Unit
Address	15, SPLAIUL INDEPENDENTEI, SECTOR 5, BUCHAREST, ROMANIA, 050092



<u>Slovakia</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Národná banka Slovenska
Name of Department/Unit	Capital Market Supervision Department
Address	Imricha Karvaša 1, 813 25 Bratislava, Slovakia

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Národná banka Slovenska
Name of Department/Unit	Capital Market Supervision Department, First-Instance Proceedings Section
Address	Imricha Karvaša 1, 813 25 Bratislava, Slovakia

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Národná banka Slovenska
Name of Department/Unit	Capital Market Supervision Department, First-Instance Proceedings Section
Address	Imricha Karvaša 1, 813 25 Bratislava, Slovakia



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Národná banka Slovenska
Name of Department/Unit	Capital Market Supervision Department
Address	Imricha Karvaša 1, 813 25 Bratislava, Slovakia



<u>Slovenia</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	Securities Market Agency (SMA)
Name of Department/Unit	International Cooperation Department
Address	Poljanski nasip 6, 1000 Ljubljana, Slovenia

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation' [Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	Securities Market Agency (SMA)
Name of Department/Unit	Financial Instruments Market Department
Address	Poljanski nasip 6, 1000 Ljubljana, Slovenia

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	Securities Market Agency (SMA)
Name of Department/Unit	Financial Instruments Market Department
Address	Poljanski nasip 6, 1000 Ljubljana, Slovenia



Contact point details for the purposes of 'passporting'	
[Commission Implementing Regulation (EU) 2017/2382]	
Name of the NCA	Securities Market Agency (SMA)
Name of Department/Unit	Financial Instruments Market Department
Address	Poljanski nasip 6, 1000 Ljubljana, Slovenia



<u>Spain</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities'	
[Commission Implementing Regulation (EU) 2017/980]	
Name of the NCA	CNMV
Name of Department/Unit	Dirección de Asuntos Internacionales
Address	C/Edison , 4 28006 Madrid

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'	
[Commission Implementing Regulation (EU) 2017/981]	
Name of the NCA	CNMV
Name of Department/Unit	Dirección de Asuntos Internacionales
Address	C/Edison , 4 28006 Madrid

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'	
[Commission Implementing Regulation (EU) 2017/1944]	
Name of the NCA	CNMV
Name of Department/Unit	Dirección de Asuntos Internacionales
Address	C/Edison , 4 28006 Madrid



Contact point details for the purposes of 'passporting'		
[Commission Implementing Regulation (EU) 2017/2382]		
Name of the NCA	CNMV	
Name of Department/Unit	Dirección de Autroización y Registro	
Address	C/Edison , 4 28006 Madrid	



<u>Sweden</u>

Contact point details for the purposes of 'cooperation and exchange of information between national competent authorities' [Commission Implementing Regulation (EU) 2017/980]		
Name of the NCA	Finansinspektionen	
Name of Department/Unit	Capital Markets Law	
Address	Finansinspektionen Box 7821, SE-103 97 Stockholm, Sweden Visiting address: Sveavägen 44,Stockholm, Sweden	

Contact point details for the purposes of 'consultation of other competent authorities prior to authorisation'		
[Commission Implementing Regulation (EU) 2017/981]		
Name of the NCA	Finansinspektionen	
Name of Department/Unit	Capital Markets Law	
Address	Finansinspektionen Box 7821, SE-103 97 Stockholm, Sweden Visiting address: Sveavägen 44, Stockholm, Sweden	

Contact point details for the purposes of 'consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm'		
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Address	Finansinspektionen Box 7821, SE-103 97 Stockholm, Sweden Visiting address: Sveavägen 44, Stockholm, Sweden	