

## GUIDELINES COMPLIANCE TABLE

### Guidelines on reporting obligations under Articles 3(3)(d) and 24(1),(2) and (4) of the AIFMD (ESMA/2014/869)

The following competent authorities\* comply or intend to comply with ESMA's Guidelines on reporting obligations under Articles 3(3)(d) and 24(1),(2) and (4) of the AIFMD (ESMA/2014/869):

		Competent authority	Complies or intends to comply	Comments
<b>Member States</b>				
LV	Latvia	Financial and Capital Market Commission	Yes	
LU	Luxembourg	Commission de Surveillance du Secteur Financier	Yes	
FR	France	Autorité des marchés financiers (AMF)	Yes	
ES	Spain	CNMV	Yes	
EL	Greece	Hellenic Capital Market Commission	Yes	<a href="http://www.hcmc.gr/aweb/files/EK2015/esma/ESMA_kateythi_ntiries_grammes_ypoboli_ektheseon_AIFMD.pdf">http://www.hcmc.gr/aweb/files/EK2015/esma/ESMA_kateythi_ntiries_grammes_ypoboli_ektheseon_AIFMD.pdf</a>
BE	Belgium	FSMA	Yes	
SK	Slovakia	National Bank of Slovakia	Yes	<a href="http://www.nbs.sk/sk/dohladna-d-financnymtrhom/dohlad/kolekti-vneinvestovanie/ohlasovaciapovinnost-podla-smerniceaifmd">http://www.nbs.sk/sk/dohladna-d-financnymtrhom/dohlad/kolekti-vneinvestovanie/ohlasovaciapovinnost-podla-smerniceaifmd</a>

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
CZ	Czech Republic	Czech National Bank	<b>Yes</b>	
DK	Denmark	Danish Financial Supervisory Authority	<b>Yes</b>	
LT	Lithuania	The Bank of Lithuania	<b>Yes</b>	
UK	United Kingdom	Financial Conduct Authority	<b>Yes</b>	
NL	The Netherlands	Autoriteit Financiële Markten	<b>Yes</b>	
AT	Austria	FMA Austria	<b>Yes</b>	
PT	Portugal	CMVM, the Portuguese Securities Market Commission	<b>Yes</b>	
SE	Sweden	Finansinspektionen (FSA Sweden)	<b>Yes</b>	
HU	Hungary	Pénzügyi Szervezetek Állami Felügyelete – Hungarian Financial Supervisory Authority	<b>Yes</b>	
FI	Finland	Finanssivalvonta (FIN-FSA)	<b>Yes</b>	
RO	Romania	Romanian Financial Supervisory Authority	<b>Yes</b>	The Romanian legislation complies with the provisions of the guidelines. The transitory period for the AIFMD closes on 23 May 2016.
CY	Cyprus	Cyprus Securities and Exchange Commission	<b>Yes</b>	<a href="http://www.cysec.gov.cy/CMS/Pages/GetFile.aspx?guid=dc95cb7e-8a07-4106-8abf2a1197a0d489">http://www.cysec.gov.cy/CMS/Pages/GetFile.aspx?guid=dc95cb7e-8a07-4106-8abf2a1197a0d489</a>
SI	Slovenia	Securities Market Agency	<b>Yes</b>	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
DE	Germany	BaFin	<b>Yes</b>	
MT	Malta	Malta Financial Services Authority	<b>Yes</b>	
PL	Poland	KNF – Polish Financial Supervision Authority	<b>Yes</b>	
IT	Italy	CONSOB	<b>Yes</b>	
IE	Ireland	Central Bank of Ireland	<b>Yes</b>	
EE	Estonia	Estonian Financial Supervision Authority	<b>Yes</b>	
BG	Bulgaria	Financial Supervision Commission	<b>Yes</b>	
HR	Croatia	HANFA	<b>Yes</b>	
<b>EEA EFTA States **</b>				
NO	Norway	Finanstilsynet	<b>Yes</b>	<a href="https://www.finanstilsynet.no/regelverk/aif-forvalter/?header=ESMA-anbefalinger">https://www.finanstilsynet.no/regelverk/aif-forvalter/?header=ESMA-anbefalinger</a>
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	<b>Yes</b>	
<b>European Territories under Article 355(3) TFEU</b>				
GI	Gibraltar	The Financial Services Commission	<b>Yes</b>	

\* 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 the AIFMD, which has been incorporated in the EEA Agreement.

## 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 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](http://www.esma.europa.eu)).*