

## Guidelines compliance table

### Guidelines on CSD Access to the trading feeds of CCPs and trading venues (ESMA70-151-298)

The following national competent authorities (NCAs) comply or intend to comply with ESMA's Guidelines on CSD access to the trading feeds of CCPs and trading venues:

Member State		Competent authority	Complies	Comments
1. AT	Austria	Finanzmarktaufsicht (FMA)	Yes	
2. BE	Belgium	National Bank of Belgium (NBB)	Intends to comply	when a CCP is established in Belgium
		FSMA	Yes	
3. BU	Bulgaria	Financial Supervision Commission	Intends to comply	by early January 2018, expected date of entry into force of the relevant national legislation
4. HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Intends to comply	by Q4 2017, expected date of entry into force of relevant national law (HR Capital Markets Act)
5. CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	
6. CZ	Czech Republic	Ceská národní banka (CNB)	Yes	
7. DK	Denmark	Finanstilsynet	Yes	
8. EE	Estonia	Finantsinspektsioon (Estonian Financial Supervision Authority)	Yes	
9. FI	Finland	Finanssivalvonta (FIN-FSA)	Yes	
10. FR	France	Autorité des Marchés Financiers	Intends to comply	by the date of entry into force of art 53 of CSDR

		Banque de France	Intends to comply	by the date of entry into force of art 53 of CSDR
11. DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes	
		Baden-Württemberg – Ministry of Economic Affairs, Labour and Housing Baden-Württemberg	Yes	
		Bavaria – Ministry of Economic Affairs and Media, Energy and Technology	Yes	
		Berlin – Exchange Supervisory Authority of the State of Berlin, Senate Department for economics, Energy and Public Enterprises	Yes	
		Hamburg – Borsenaufsicht Hamburg	Yes	
		Hesse – Hessisches Ministerium für Wirtschaft, Energie, Verkehr und Landesentwicklung	Yes	
		Lower-Saxony – Ministry for Economics, Labour and transport	Intends to comply	by 03/01/2018, pending the entry into force of the relevant regulation in Lower Saxony
		North Rhine Westphalia – Stock Exchange Supervisory Authority	Yes	
		Saxony – Exchange supervisory Authority of the Saxon State, Ministry for economic affairs, labour and transport	Intends to comply	when a financial instrument deposited at a CSD will be traded on a trading venue supervised by the Exchange Supervisory Authority of the Saxon State Ministry for Economic Affairs, Labour and Transport
12. EL	Greece	Hellenic Capital Market Commission <sup>1</sup>	Yes	
13. HU	Hungary	Magyar Nemzeti Bank (MNB)	Intends to comply	by 31/12/2017, pending adoption of the relevant

<sup>1</sup> Designation of the Greek competent authority under CSDR is pending adoption of the relevant national law

				national regulations (MNB Recommendations)
14. IE	Ireland	Central Bank of Ireland	Yes	
15. IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Yes	
16. LV	Latvia	Financial and Capital Market Authority (FCMC)	Intends to comply	by 01/01/2018, pending adoption of the relevant national regulations
17. LT	Lithuania	Bank of Lithuania	Yes	
18. LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF) <sup>2</sup>	Yes	
19. MT	Malta	Malta Financial Services Authority	Intends to comply	by 31/12/2017, pending adoption of the relevant national law
20. NL	The Netherlands	Autoriteit Financiële Markten (AFM)	Yes	
21. PL	Poland	Komisji Nadzoru Finansowego (KNF)	Yes	
22. PT	Portugal	Comissão do mercado de valores mobiliários (CMVM)	Yes	
23. RO	Romania	Romanian Financial Supervisory Authority	Yes	
24. SK	Slovakia	National Bank of Slovakia	Yes	
25. SI	Slovenia	Securities Market Agency	Yes	
26. ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
27. SE	Sweden	Finansinspektionen (FI)	Yes	
28. UK	The United Kingdom	Bank of England	Yes	
		FCA	Yes	

European territories under Article 355(3)		Competent authority	Complies	Comments
1. GI	Gibraltar	Financial Services Commission	Yes	

EEA/EFTA State		Competent authority	Complies	Comments
1. LI	Liechtenstein	Financial Market Authority Liechtenstein	Intends to comply	When the CSDR legislation is incorporated in the

<sup>2</sup> Designation of the Luxembourg competent authority under CSDR is pending adoption of the relevant national law



				EEA Agreement and Liechtenstein Law is adopted
2. NO	Norway	Finanstilsynet	Intends to comply	When CSDR is implemented into Norwegian law

## 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.

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.

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