

## GUIDELINES COMPLIANCE TABLE

### Guidelines on the application of C6 and C7 of Annex I of MiFID II (ESMA-70-156-869)

The following competent authorities comply or intend to comply with ESMA's Guidelines on the application of C6 and C7 of Annex I of MiFID II

		Competent authority	Complies or intends to comply	Comments
<b>Member States</b>				
AT	Austria	Financial Market Authority (FMA)	Yes	
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Intends to comply *	Intends to comply by 1 December 2019
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	
CZ	Czech Republic	Czech National Bank (CNB)	Yes	
DK	Denmark	Finanstilsynet	Yes	
EE	Estonia	Finantsinspeksioon	Yes	
FI	Finland	Finanssivalvonta (FSA)	Intends to comply *	Intends to comply by 1 October 2019
FR	France	Autorité des Marchés Financiers (AMF)	Yes	
DE	Germany	BaFin	Yes	
GR	Greece	Hellenic Capital Market Commission (HCMC)	Yes	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
HU	Hungary	Magyar Nemzeti Bank (MNB)	<b>Intends to comply*</b>	Intends to comply by 31 March 2020
IE	Ireland	Central Bank of Ireland	<b>Yes</b>	
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	<b>Yes</b>	
LV	Latvia	Financial and Capital Market Commission (FCMC)	<b>Yes</b>	
LT	Lithuania	Bank of Lithuania	<b>Yes</b>	
LU	Luxemburg	Commission de Surveillance du Secteur Financier (CSSF)	<b>Yes</b>	
MT	Malta	Malta Financial Services Authority (MFSA)	<b>Yes</b>	
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	<b>Yes</b>	
PO	Poland	Komisja Nadzoru Finansowego (KNF)	<b>Yes</b>	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	<b>Yes</b>	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	<b>Intends to comply*</b>	Intends to comply by 1 November 2019
SK	Slovakia	National Bank of Slovakia (NBS)	<b>Yes</b>	
SI	Slovenia	Securities Market Agency (SMA)	<b>Yes</b>	
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	<b>Yes</b>	
SE	Sweden	Finansinspektionen (FI)	<b>Yes</b>	
GB	United Kingdom	Financial Conduct Authority (FCA)	<b>Yes</b>	

**EEA EFTA States \*\***

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
IS	Iceland	Fjármálaeftirlitið (FME)	<b>Intends to comply*</b>	Intends to comply by 1 January 2020
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	<b>Yes</b>	
NO	Norway	Finanstilsynet	<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 application of C6 and C7 of Annex I of MiFID II, which has not yet been incorporated in the EEA Agreement. This table is therefore based on information provided from those competent authorities of the EEA States on a voluntary basis.

## 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)).*