

## GUIDELINES COMPLIANCE TABLE

# Guidelines compliance table

## Guidelines on CCP recovery plan scenarios (Article 9(12) CCPRRR) (ESMA 91-372-1701)

The following national competent authorities (NCAs) comply or intend to comply with ESMA's Guidelines on CCP recovery plan scenarios (Article 9(12) CCPRRR) (ESMA 91-372-1701).

|                      |                | <b>Competent authority</b>                              | <b>Complies or intends to comply</b> | <b>Comments</b>                              |
|----------------------|----------------|---------------------------------------------------------|--------------------------------------|----------------------------------------------|
| <b>Member States</b> |                |                                                         |                                      |                                              |
| AT                   | Austria        | Financial Market Authority (FMA)                        | <b>Yes</b>                           |                                              |
| BE                   | Belgium        | National Bank of Belgium                                | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| BG                   | Bulgaria       | Financial Supervision Commission (FSC)                  | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| HR                   | Croatia        | Hrvatska agencija za nadzor financijskih usluga (HANFA) | <b>Yes</b>                           |                                              |
| CY                   | Cyprus         | Cyprus Securities and Exchange Commission (CySEC)       | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| CZ                   | Czech Republic | Czech National Bank (CNB)                               | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| DK                   | Denmark        | Finanstilsynet                                          | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |

|    |           | <b>Competent authority</b>                               | <b>Complies or intends to comply</b> | <b>Comments</b>                              |
|----|-----------|----------------------------------------------------------|--------------------------------------|----------------------------------------------|
| EE | Estonia   | Finantsinspektsioon                                      | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| FI | Finland   | Finanssivalvonta (FSA)                                   | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| FR | France    | Autorité des Marchés Financiers (AMF)                    | <b>Yes</b>                           |                                              |
|    |           | Autorité de Contrôle Prudentiel et de Résolution (ACPR)  | <b>Yes</b>                           |                                              |
| DE | Germany   | BaFin                                                    | <b>Yes</b>                           |                                              |
| GR | Greece    | Hellenic Capital Market Commission (HCMC)                | <b>Yes</b>                           |                                              |
| HU | Hungary   | Magyar Nemzeti Bank (MNB)                                | <b>Yes</b>                           |                                              |
| IE | Ireland   | Central Bank of Ireland                                  | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| IT | Italy     | Commissione Nazionale per le Società e la Borsa (CONSOB) | <b>Yes</b>                           |                                              |
|    |           | Bank of Italy                                            | <b>Yes</b>                           |                                              |
| LV | Latvia    | Financial and Capital Market Commission (FCMC)           | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| LT | Lithuania | Bank of Lithuania                                        | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| LU | Luxemburg | Commission de Surveillance du Secteur Financier (CSSF)   | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| MT | Malta     | Malta Financial Services Authority (MFSA)                | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |

|                           |                 | <b>Competent authority</b>                        | <b>Complies or intends to comply</b> | <b>Comments</b>                              |
|---------------------------|-----------------|---------------------------------------------------|--------------------------------------|----------------------------------------------|
| NL                        | The Netherlands | De Nederlandsche Bank                             | <b>Yes</b>                           |                                              |
| PL                        | 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>             | By the date a CCP exists in the jurisdiction |
| SK                        | Slovakia        | National Bank of Slovakia (NBS)                   | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| SI                        | Slovenia        | Securities Market Agency (SMA)                    | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| ES                        | Spain           | Comisión Nacional del Mercado de Valores (CNMV)   | <b>Yes</b>                           |                                              |
| SE                        | Sweden          | Finansinspektionen (FI)                           | <b>Yes</b>                           |                                              |
| <b>EEA EFTA States **</b> |                 |                                                   |                                      |                                              |
| IS                        | Iceland         | Central Bank of Iceland                           | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| LI                        | Liechtenstein   | Finanzmarktaufsicht (FMA)                         | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |
| NO                        | Norway          | Finanstilsynet                                    | <b>Intends to comply</b>             | By the date a CCP exists in the jurisdiction |

\* 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 CCPRRR [Regulation (EU) No 2021/23], which has been incorporated in the EEA Agreement.

## 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.

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)).