

ESMA 2013 Regulatory Work Programme

No	Link to No of WP 2013	Objectives	Name of Document	Relevant Legislative Text	Procedure	Mandatory / Discretionary	Deadline	Unit/Division	Consultation proposed?	Cost-benefit analysis proposed?	ESMA groups from which advice will be sought
1	69	Single rulebook	Measures in respect of exemptions (c) and (i) to clarify when an activity is to be considered as ancillary to the main business on a group level as well as for determining when an activity is provided in an incidental manner.	MiFID, Art. 2(3) (Exemptions)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	CDTF
2	69	Single rulebook	Characteristics of derivative contracts mentioned in Annex I C(7) and (10) of MiFID.	MiFID, Art. 4(2) No 1 (Definitions)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	IPISC/CDTF
3	69	Single rulebook	Technical elements of the definitions of Article 4(1).	MiFID, Art. 4(3) (Definitions)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC/IPISC
4	69	Single rulebook	Detailed organisational requirements to be imposed on investment firms	MiFID, Art. 17(6) (Algorithmic trading)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
5	69	Single rulebook	Different methods through which an investment firm can be deemed to have met its obligation to disclose not immediately executable client limit orders to the market.	MiFID, Art. 28(3) (Client order handling rules)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
6	69	Single rulebook	Situations constituting significant damage to the investors' interests and the orderly functioning of the internal market and to determine issues relating to the non-disclosure of information about the issuer or financial instrument.	MiFID, Art. 32(3) (Suspension and removal of instruments from trading on an MTF)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
7	69	Single rulebook	Requirements ensuring that MTFs are subject to effective rules, systems and procedures.	MiFID, Art. 35(8) (SME growth markets)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
8	69	Single rulebook	Requirements with respect to the trading systems' resilience, capacity, mechanisms to manage trading volatility, order-to-execution ratios etc.	MiFID, Art. 51(7) (Systems resilience, circuit breakers and electronic trading)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
9	69	Single rulebook	Arrangements put in place by regulated markets regarding the admission of financial instruments to trading.	MiFID, Art. 52(6) (Admission of financial instruments to trading)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
10	69	Single rulebook	List of circumstances constituting significant damage to the investors' interests and the orderly functioning of the internal market and to determine issues relating to the non-disclosure of information about the issuer or financial instrument.	MiFID, Art. 53(4) (Suspension and removal of instruments from trading)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
11	69	Single rulebook	Limits or alternative arrangements on the number of contracts which any person can enter into, the necessary equivalent effects of these alternative arrangements as well as the conditions for exemptions.	MiFID, Art. 59(3) (Position limits)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	CDTF
12	69	Single rulebook	Measures to specify the thresholds triggering the reporting obligations and to refine the categories of members, participants or clients of RM, MTF or OTF.	MiFID, Art. 60(5) (Position reporting by categories of traders)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	CDTF
13	69	Single rulebook	Clarifying what constitutes a reasonable commercial basis to make information public.	MiFID, Art. 66(6) (Conditions for approved publication arrangements (APAs) - Organisational requirements)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
14	69	Single rulebook	Requirements with which APAs have to comply with and the content of the information to be published.	MiFID, Art. 66(7) (Conditions for approved publication arrangements (APAs) - Organisational requirements)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
15	69	Single rulebook	What constitutes a reasonable commercial basis to provide access to the consolidated tape.	MiFID, Art. 67(7) (Conditions for consolidated tape providers (CTPs) - Organisational requirements)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
16	69	Single rulebook	Content of information and arrangements in place to collect and make available the consolidated information.	MiFID, Art. 67(8) (Conditions for consolidated tape providers (CTPs) - Organisational requirements)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
17	69	Single rulebook	Criteria under which the operations of a regulated market in a host Member State could be considered as of substantial importance in that host Member State.	MiFID, Art. 83(7) (Cooperation between the competent authorities of the Member States and with ESMA - Obligation to cooperate)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
18	69	Single rulebook	Range of bid and offers or designated market-maker quotes, and the depth of trading interest at those prices, to be made public for each class of financial instrument concerned; the size or type of orders for which pre-trade disclosure may be waived; the market model for which pre-trade disclosure may be waived.	MiFIR, Art. 4(3) (Transparency for equity instruments – Granting of waivers)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
19	69	Single rulebook	Details of the information to be provided and the conditions for deferred trade-publication.	MiFIR, Art. 6(2) (Transparency for equity instruments - Authorisation of deferred publication)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
20	69	Single rulebook	Format and level of detail of the pre-trade information to be provided as well as the waivers to these requirements.	MiFIR, Art. 8(4) (Transparency for non-equity instruments - Granting of waivers)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
21	69	Single rulebook	Scope of the information as well as the conditions for deferred post-trade publication.	MiFIR, Art. 10(2) (Transparency for non-equity instruments - Authorisation of deferred publication)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
22	69	Single rulebook	Elements related to the publication of firm quotes and to the standard market size.	MiFIR, Art. 13(7) (Transparency for systematic internalisers - Obligation for investment firms to make public firm quotes)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
23	69	Single rulebook	Criteria specifying when prices fall within a public range close to market conditions.	MiFIR, Art. 14(5) (Transparency for systematic internalisers - Execution of client orders)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC

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24	69	Single rulebook	Criteria specifying when a quote is published on a regular and continuous basis as well as the means by which investment firms make public their quotes, the criteria allowing for the withdrawal/updating of quotes etc.	MiFIR, Art. 16(3)(Transparency for systematic internalisers - Access to quotes)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
25	69	Single rulebook	Sizes at which a firm shall enter into transactions with any other client to whom the quote is made available.	MiFIR, Art. 18(2) (Quoting obligation for non-equity systematic internalisers)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
26	69	Single rulebook	Types of contracts which have a direct, substantial effect within the Union and the cases where the trading obligation is necessary to prevent circumvention of MiFIR.	MiFIR, Art. 24(5) (Derivatives - Obligation to trade on regulated markets, MTFs or OTFs)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
27	69	Single rulebook	Conditions under which access could be denied or granted by a CCP.	MiFIR, Art. 28(6) (Non-discriminatory access to a CCP)	Technical Advice	Mandatory	Not defined	Markets	Yes	No	SMSC
28	69	Single rulebook	Conditions under which access could be denied or granted by a trading venue.	MiFIR, Art. 29(6) (Non-discriminatory access to a trading venue)	Technical Advice	Mandatory	Not defined	Markets	Yes	No	SMSC
29	69	Single rulebook	Information to be made available to trading venues and CCPs and the conditions under which access is granted.	MiFIR, Art. 30(3) (Non-discriminatory access to and obligation to licence benchmarks)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	SMSC
30	69	Single rulebook	Criteria and factors to be taken into account by ESMA in determining when a threat to the orderly functioning and integrity of financial markets arises.	MiFIR, Art. 35(10) (Position management powers of ESMA)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	CDTF
31	69	Single rulebook	Reasonable commercial basis to report information.	MiFID, Art. 68 (5) (Approved reporting mechanisms- Organisational requirements)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
32	69	Single rulebook	Technical elements of the definitions to adjust them to market developments.	MiFIR, Art. 2(3) (Definitions)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
33	69	Single rulebook	Offering of pre- and post-trade transparency data, including the level of disaggregation of the data to be made available.	MiFIR, Art. 11(2) (Obligation to make pre- and post-trade data available separately)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
34	69	Single rulebook	Reasonable commercial basis to make information public.	MiFIR, Art. 12(2) (Obligation to make pre- and post-trade data available on a reasonable commercial basis)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
35	69	Single rulebook	Reasonable commercial basis to make quotes public.	MiFIR, Art. 14(6) (Transparency for systematic internalisers – publication of quotes)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
36	69	Single rulebook	Reasonable commercial basis to make quotes public.	MiFIR, Art. 18(3) (Quoting obligation for non-equity systematic internalisers)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
37	69	Single rulebook	Identifiers for the different types of trades published and elements of the obligation to transactions involving the use of those financial instruments for collateral, lending or other purposes.	MiFIR, Art. 19(3) (Post-trade disclosure by investment firms trading OTC, including systematic internalisers, for shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
38	69	Single rulebook	Identifiers for the different types of trades published and elements of the obligation to transactions involving the use of those financial instruments for collateral, lending or other purposes.	MiFIR, Art. 20(3) (Post-trade disclosure by investment firms trading OTC, including systematic internalisers, for bonds, structured finance products, emission allowances and derivatives)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
39	69	Single rulebook	Reports to be sent to ESMA at a specified time for their centralised publication.	MiFID, Art. 60(5) (Position limits and reporting - Position reporting by categories of traders)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	CDTF
40	69	Single rulebook	Implementing decision with respect of third country trading venues equivalence.	MiFIR, Art. 24(4) (Obligation to trade on regulated markets, MTFs or OTFs)	Technical Advice	Discretionary	To be determined by the Commission	Markets	Yes	No	SMSC
41	69	Single rulebook	Circumstances that trigger an information requirement for disorderly trading conditions, conduct that may indicate abusive behaviour under MAR and system disruption in relation to a financial instrument with regard to MTFs and OTFs.	MiFID, Art. 34(2) (Cooperation and exchange of information for MTFs and OTFs)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
42	69	Single rulebook	Notion of sufficient time commitment of a member of the management body, of adequate collective knowledge, skills, experience, integrity, honesty, independence of mind, adequate human and financial resources as well as diversity to be taken into account for selection of members of the management body on the regulated market.	MiFID, Art. 48(4) (Requirements for the management of the regulated market)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
43	69	Single rulebook	Circumstances that trigger an information requirement for disorderly trading conditions, conduct that may indicate abusive behaviour under MAR and system disruption with regards to regulated markets.	MiFID, Art. 54(2) (Cooperation and exchange of information for regulated markets)	Article 10 : Regulatory TS	Mandatory	18 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
44	69	Single rulebook	Information to be provided to the competent authorities, including the programme of operations of the data reporting service provider, as well as information regarding the management body.	MiFID, Art. 63(4) (Authorisation procedures for data reporting services providers - Procedures for granting and refusing requests for authorisation)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
45	69	Single rulebook	Common formats, data standards and technical arrangements facilitating the consolidation of information by which the APA is required to make the information regarding the transaction public on a non-discriminatory basis.	MiFID, Art. 66(5) (Conditions for approved publication arrangements (APAs) - Organisational requirements)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC

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46	69	Single rulebook	Data standards and formats in respect of the consolidated trade information that consolidated tape providers (CTP) shall publish.	MiFID, Art. 67(6) (Conditions for consolidated tape providers (CTPs) - Organisational requirements)	Article 10 : Regulatory TS	Mandatory	Equity and equity-like instruments: 12 months after entry into force of the legislative text. Non-equity instruments: 18 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
47	69	Single rulebook	Data standards and formats for the information of transaction reports to be published by the investment firm, including the methods and arrangements for reporting financial transaction and the form and the content of such repotechnical standard.	MiFIR, Art. 23(8) (Obligation to report transactions)	Article 10 : Regulatory TS	Mandatory	Not defined	Markets	Yes	Yes	Transaction Reporting Joint Sub-group
48	69	Single rulebook	Liquidity criteria for derivatives to be considered subject to the trading obligation.	MiFIR, Art. 26(6) (Derivatives – Trading obligation procedure)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
49	69	Single rulebook	Content and format of the descriptions and notifications regarding the functioning the MTFs and OTFs in order to compile a comprehensive list.	MiFID, Art. 18(9) (Trading process and finalisation of transactions in an MTF and an OTF)	Article 16: Guidelines and Recommendations	Mandatory	31/12/2016	Markets	Yes	Yes	SMSC
50	69	Single rulebook	Format and timing of the communication and the publication of the suspension or removal of a financial instrument from trading on an MTF.	MiFID, Art. 32(2) (Suspension and removal of instruments from trading on an MTF)	Article 16: Guidelines and Recommendations	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
51	69	Single rulebook	Format and timing of the communication and the publication of the suspension or removal of a financial instrument from trading on an OTF.	MiFID, Art. 33(2) (Suspension and removal of instruments from trading on an OTF)	Article 16: Guidelines and Recommendations	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
52	69	Single rulebook	Format and timing of the communication and publication, to other regulated markets, MTFs and OTFs, for the suspension or removal of an instrument from trading by an operator of a regulated market.	MiFID, Art. 53(3) (Suspension and removal of instruments from trading)	Article 16: Guidelines and Recommendations	Mandatory	18 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
53	69	Single rulebook	Format of weekly reports with the aggregate positions held by different categories of traders for financial instruments traded on regulated markets, MTFs and OTFs, and the content of the information to be provided of positions in real-time.	MiFID, Art. 60(4) (Position reporting by categories of traders)	Article 16: Guidelines and Recommendations	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	CDTF
54	69	Single rulebook	Standard forms, templates and procedures for the notifications or provision of information including the programme of operation and the organisational structure of the data reporting service provider.	MiFID, Art. 63(5) (Authorisation procedures for data reporting services providers - Procedures for granting and refusing requests for authorisation)	Article 16: Guidelines and Recommendations	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	SMSC
55	69	Single rulebook	Standard forms, templates and procedures for the cooperation arrangements between the competent authorities of the home MS and the host MS in respect of trading venues that have become of substantial importance in the host state.	MiFID, Art. 83(7) (Obligation to cooperate)	Article 16: Guidelines and Recommendations	Mandatory	To be determined by the Commission	Markets	Yes	Yes	SMSC
56	69	Single rulebook	Technical standard to amend or revoke existing technical standard when there is a material change in the criteria	MiFIR, Art. 26(5) (Derivatives – Trading obligation procedure)	Article 16: Guidelines and Recommendations	Mandatory	Whenever there is material change	Markets	Yes	Yes	SMSC
57		Single Rulebook	Guidelines on market making	Short Selling Regulation	Article 16: Guidelines and Recommendations	Discretionary	Not defined	Markets	Yes	Yes	MISC
58	52	Single Rulebook	Technical standard defining timing and format of the information on financial instruments	Market Abuse Regulation (Art. 2)	Article 15: Implementing TS	Mandatory	Not defined	Markets	Yes	Yes	MISC
59	52	Single Rulebook	Technical standard on the conditions for buy-back programmes and stabilisation measures (including conditions for trading, restrictions regarding time and volume, disclosure and reporting obligations, and price conditions)	Market Abuse Regulation (Art. 3)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
60	52	Single Rulebook	Technical advice on the conditions for buy-back programmes and stabilisation measures (including conditions for trading, restrictions regarding time and volume, disclosure and reporting obligations, and price conditions)	Market Abuse Regulation (Art. 3)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
61	52	Single Rulebook	Technical advice on technical elements or amendment to the definitions, in line with MiFIR/MiFID to take into account the technical developments on financial markets and the list of abusive practices	Market Abuse Regulation (Art. 5)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
62	52	Single Rulebook	Guidelines on a non exhaustive indicative list of information which is reasonably expected or required to be disclosed in accordance with legal or regulatory provisions at the Union or national level, market rules, contracts, practices or customs, on the relevant commodity derivatives or spot markets	Market Abuse Regulation (Art. 6 - Inside information)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Markets	Yes	Yes	MISC
63	52	Single Rulebook	Technical standard on a definition of inside information in relation to emission allowances or auctioned products based thereon	Market Abuse Regulation (Art. 6 - Inside information)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC

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64	52	Single Rulebook	Guidelines on the determination of appropriate standards of behaviour in relation to relevant markets	Market Abuse Regulation (Art. 6 - Inside information)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Markets	Yes	Yes	MISC
65	52	Single Rulebook	Technical standard on appropriate arrangements and procedures for persons to comply with the requirements relating to market soundings	Market Abuse Regulation (Art. 7c)	Article 10 : Regulatory TS	Mandatory	Not defined	Markets	Yes	Yes	MISC
66	52	Single Rulebook	Technical standard on systems and notification templates to comply with the requirements relating to market soundings	Market Abuse Regulation (Art. 7c)	Article 15: Implementing TS	Mandatory	Not defined	Markets	Yes	Yes	MISC
67	52	Single Rulebook	Guidelines to potential investors regarding factors needed to be taken into account when approached with sounding offer, steps they ought to take and the records they should maintain	Market Abuse Regulation (Art. 7c)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Markets	Yes	Yes	MISC
68	52	Single Rulebook	Technical advice to specify the indicators of manipulative behaviours	Market Abuse Regulation (Art. 8)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
69	52	Single Rulebook	Technical standard to specify the indicators of manipulative behaviours	Market Abuse Regulation (Art. 8)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
70	52	Single Rulebook	Technical standard on the criteria , the process and the requirements for establishing Accepted Market Practices	Market Abuse Regulation (Art. 8a Council and Art. 4a EP)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
71	52	Single Rulebook	Technical advice on requirements related to algorithmic trading and abusive order entry (fee structure, order ratio...)	Market Abuse Regulation (Art. 10a)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
72	52	Single Rulebook	Technical standard on arrangements, systems and notification templates operators of trading venues (RM, MTF and OTF) and persons professionally arranging transactions should put in place to prevent, detect and report suspicious orders and transactions	Market Abuse Regulation (Art. 11)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
73	52	Single Rulebook	Technical advice on a minimum threshold of carbon dioxide equivalent and a minimum threshold of rated thermal input for the purposes of application of the exemption from disclosure of inside information	Market Abuse Regulation (Art. 12)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
74	52	Single Rulebook	Technical standard on the conditions for (i) appropriate public disclosure of inside information and (ii) delaying delaying the public disclosure of inside information	Market Abuse Regulation (Art. 12)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
75	52	Single Rulebook	Guidelines on a non exhaustive indicative list of the legitimate interests of the issuer for delaying disclosure of information	Market Abuse Regulation (Art. 12)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Markets	Yes	Yes	MISC
76	52	Single Rulebook	Technical advice on the content of insider lists and conditions to draw insider lists	Market Abuse Regulation (Art. 13)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
77	52	Single Rulebook	Technical standard on the content of insider lists and conditions to draw insider lists	Market Abuse Regulation (Art. 13)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
78	52	Single Rulebook	Technical standard on the format of insider lists and the format for updating them	Market Abuse Regulation (Art. 13)	Article 15: Implementing TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
79	52	Single Rulebook	Technical advice on managers transactions	Market Abuse Regulation (Art. 14)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
80	52	Single Rulebook	Technical standard on managers transactions	Market Abuse Regulation (Art. 14)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
81	52	Single Rulebook	Technical standard on format for making public managers transactions	Market Abuse Regulation (Art. 14)	Article 15: Implementing TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
82	52	Single Rulebook	Technical standard on the objective presentation of investment recommendations	Market Abuse Regulation	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
83	52	Single Rulebook	Technical standard on the cross-market order-book surveillance	Market Abuse Regulation (Art. 17a)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
84	52	Single Rulebook	Technical standard on exchange of information between ESMA and Competent Authorities	Market Abuse Regulation (Art. 18)	Article 15: Implementing TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
85	52	Single Rulebook	Technical standard on cooperation (exchange of information and assistance) between ESMA, CAs, ACER and energy national regulatory authorities as well as between CAs and national/third country regulatory authorities of the spot markets	Market Abuse Regulation (Art. 19)	Article 15: Implementing TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
86	52	Single Rulebook	Guidelines on a template document for cooperation arrangements between CAs and authorities in third countries	Market Abuse Regulation (Art. 20)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Markets	Yes	Yes	MISC

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87	52	Single Rulebook	Technical standard on a template document for cooperation arrangements between CAs and authorities in third countries	Market Abuse Regulation (Art. 20)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
88	52	Single Rulebook	Technical advice on reporting of violations (Whistleblowing) including the modalities of reporting and the modalities for follow up of repotechnical standard, the measures for the protection of persons	Market Abuse Regulation (Art. 29)	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	MISC
89	52	Single Rulebook	Technical standard on procedures and forms for exchange of information on measures, sanctions and fines imposed by administrative and judicial authorities	Market Abuse Regulation (Art. 30)	Article 15: Implementing TS	Mandatory	Not defined	Markets	Yes	Yes	MISC
90		Single Rulebook	Technical standard on: - Data standards and formats, methods and arrangements for transaction reporting; - criteria for defining a relevant market; - content of transaction report; - the relevant financial instrument to be reported; - application of transaction reporting obligations to branches; - what constitutes a transaction	MiFIR (Art. 23 (8))	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
91		Single Rulebook	Technical standard determining the data standards and formats of the instrument reference data	MiFIR (Art. 23a)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Markets	Yes	Yes	MISC
92	25	Single Rulebook	Details of the procedures for: Confirmation; procedures facilitating early settlement/settlement on intended settlement date; Monitoring tools to identify likely settlement fails	CSD Regulation, Art. 6(4)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
93	25	Single Rulebook	Details of system monitoring fails; Reports on fails; CSD Procedures facilitating settlement; Buy-in procedures at ISD+4 and associated penalties for settlement fails	CSD Regulation, Art.7(8)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
94	25	Single Rulebook	Details of the application of CSDs for authorisation by CA	CSD Regulation, Art.15(7)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
95	25	Single Rulebook	Information to be provided or exchanged (CSD to CA; CA to relevant authorities (CBs); between CAs) in the context of the annual review of CSD mechanisms and evaluation of CSD risks	CSD Regulation, Art.20(8)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
96	25	Single Rulebook	Monitoring tools for the risks of CSDs; Responsibilities of key personnel in respect of those risks; Potential conflicts of interest (internal/external) CSD and group Audit methods	CSD Regulation, Art.24(7)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
97	25	Single Rulebook	Recordkeeping (details of records to be retained to supervise CSDs)	CSD Regulation, Art.27(3)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
98	25	Single Rulebook	Reconciliation measures a CSD should take to ensure integrity of the issue	CSD Regulation, Art.34(4)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
99	25	Single Rulebook	Book-entry methods and account structures enabling individual client segregation and how to assess them	CSD Regulation, Art.35(6)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
100	25	Single Rulebook	Timely settlement: elements of procedures that CSDs should establish to ensure timely settlement	CSD Regulation, Art.36(9)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
101	25	Single Rulebook	Operational risks specification and methods to test, address or minimise them, including BCP and disaster recovery and methods of assessment	CSD Regulation, Art.42(7)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
102	25	Single Rulebook	Capital, retained earnings and reserves of a CSD and plan on those and orderly wind down and reorganisation in case it is impossible to raise new capital	CSD Regulation, Art.44(3)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
103	25	Single Rulebook	CSD links: - Adequate protection of linked CSDs (conditions of) - Monitoring and managing of additional risks when using intermediaries - Reconciliation methods - DVP – define when it is practical and feasible	CSD Regulation, Art.45(9)	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC

No	Link to No of WP 2013	Objectives	Name of Document	Relevant Legislative Text	Procedure	Mandatory / Discretionary	Deadline	Unit/Division	Consultation proposed?	Cost-benefit analysis proposed?	ESMA groups from which advice will be sought
104	25	Single Rulebook	Information that applicant CSDs shall provide to CAs on authorisation to designate a credit institution	CSD Regulation, Art.53(5)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
105	25	Single Rulebook	Application of CSDs for authorisation by CAs' [standard forms, templates and procedures]	CSD Regulation, Art.15(8)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
106	25	Single Rulebook	Standard Forms, templates and procedures for consulting relevant CAs prior to authorisation	CSD Regulation, Art.53(6)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
107	25	Single Rulebook	Cooperation Arrangements between CAs [forms, templates and procedures]	CSD Regulation, Art.20(9)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
108	25	Single Rulebook	Format of the CSD records	CSD Regulation, Art.27(4)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
109	25	Single Rulebook	Complaints on refusal of access: standard forms and templates	CSD Regulation, Art.30(6)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
110	25	Single Rulebook	Standard forms and templates for procedure on access of issuers to CSDs	CSD Regulation, Art.47(6)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
111	25	Single Rulebook	Forms and templates of CSD link procedure	CSD Regulation, Art.50(6)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
112	25	Single Rulebook	Forms and templates for procedure for access between CSDs and other market infrastructures	CSD Regulation, Art.51(5)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
113	25	Single Rulebook	Cooperation Arrangements between CAs [forms, templates and procedures]	CSD Regulation, Art.22(7)	Article 15: Implementing TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
114	25	Single Rulebook	Consistency, effectiveness and efficiency of ex-ante and ex-post measures on fails (best practices)	CSD Regulation, Art.8(2)	Article 16: Guidelines and Recommendations	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
115	25	Single Rulebook	Consistency, effectiveness and efficiency of supervisory practices on CSD authorisation and cooperation (best practices)	CSD Regulation, Art.12(1)	Article 16: Guidelines and Recommendations	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
116	25	Single Rulebook	Participant default rules and procedures consistency	CSD Regulation, Art.38(4)	Article 16: Guidelines and Recommendations	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
117	25	Single Rulebook	Technical elements of the definitions on: DVP; Links inc. interoperability; Ancillary services	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
118	25	Single Rulebook	Measures for establishing the criteria under which the operations of a CSD in a host MS could be considered of substantial importance for the functioning of the securities markets and the protection of investors in that MS	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
119	25	Single Rulebook	- Services for which a CSD established in a third country shall apply for recognition by ESMA - Information that third country applicants shall provide ESMA in their application for recognition	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
120	25	Single Rulebook	Measures to specify the risks which may justify a refusal of access and elements of procedure on examining complaints for such refusal	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
121	25	Single Rulebook	Definition of the cases when settlement of cash payments in a specific currency through accounts opened with a CB is not practical and available and methods of such assessment	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
122	25	Single Rulebook	Risks that justify a refusal by a CSD of access to issuers Elements of procedure regarding refusal of access to a CSD	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
123	25	Single Rulebook	Measures to specify elements of procedures on CSD links	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
124	25	Single Rulebook	Elements of procedure for access between CSDs and other market infrastructures	CSD Regulation	Technical Advice	Mandatory	To be determined by the Commission	Markets	Yes	No	PTSC
125	2012 WP	Single Rulebook	Guidelines on CCPs interoperability	EMIR, Art. 54.4	Article 16: Guidelines and Recommendations	Mandatory	31/03/2013	Markets	Yes	No	PTSC
126	29	Single Rulebook	Joint technical standard on capital and collateral for contracts not cleared by a CCP	EMIR	Article 10 : Regulatory TS	Mandatory	To be determined by the Commission	Markets	Yes	Yes	PTSC

No	Link to No of WP 2013	Objectives	Name of Document	Relevant Legislative Text	Procedure	Mandatory / Discretionary	Deadline	Unit/Division	Consultation proposed?	Cost-benefit analysis proposed?	ESMA groups from which advice will be sought
127	26	Single Rulebook	Technical Standards on determination of the clearing obligation	EMIR	Article 10 : Regulatory TS	Mandatory	6 months after entry into force of the legislative text	Markets	Yes	Yes	PTSC
128	28	Single Rulebook	Guidelines on the enforcement of EMIR provisions on OTC derivatives	EMIR	Article 16: Guidelines and Recommendations	Discretionary	Discretionary	Markets	Yes	Yes	PTSC
129	28	Single Rulebook	Advice to the European Commission on fees for trade repositories authorization, recognition and supervision	EMIR	Technical Advice	Mandatory	31/03/2013	Markets	Yes	No	PTSC
130		Single rulebook	Technical advice on MiFID 2Art 13(1) MiFID – (Assessment)	MiFID, Art. 13(1) (Assessment)	Depends on EC mandate to ESMA	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
131	69	Single rulebook	Technical advice on Art 24(8) - General principles and information to clients	MiFID, Art. 24(8) (General principles and information to clients)	Depends on EC mandate to ESMA	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
132	69	Single rulebook	Technical advice on Art 31(8) - ESMA powers to temporarily intervene):	MiFIR, Art. 31(8) (ESMA powers to temporarily intervene)	Depends on EC mandate to ESMA	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
133	69	Single rulebook	Technical advice on Art 32(6) - Product intervention by competent authorities	MiFIR, Art. 32(6) (Product intervention by competent authorities)	Depends on EC mandate to ESMA	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
134	69	Single rulebook	Technical advice on Art 2(3) - Definitions	MiFIR, Art. 2(3) (Definitions)	Depends on EC mandate to ESMA	Discretionary	To be determined by the Commission	Investment and Reporting	Yes		IPISC
135	69	Single rulebook	Guidelines on Art 24(7) - General principles and information to clients	MiFID, Art. 24(7) (General principles and information to clients)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Investment and Reporting	Yes		IPISC
136	69	Single rulebook	Guidelines on Art 25(7) - Assessment of suitability and appropriateness and reporting to clients	MiFID, Art. 25(7) (Assessment of suitability and appropriateness and reporting to clients)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Investment and Reporting	Yes		IPISC
137	69	Single rulebook	Technical standards on Art 7(4) - Procedures for granting and refusing requests for authorisation	MiFID, Art. 7(4) (Procedures for granting and refusing requests for authorisation)	Article 10 : Regulatory TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
138	69	Single rulebook	Technical standards on Art 84(3)	MiFID, Art. 84(3)	Article 10 : Regulatory TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
139	69	Single rulebook	Technical standards on Art 7(5) - Procedures for granting and refusing requests for authorisation	MiFID, Art. 7(5) (Procedures for granting and refusing requests for authorisation)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
140	69	Single rulebook	Technical standards on Art 9(4) - Management Body	MiFID, Art. 9(4) (Management Body)	Article 10 : Regulatory TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
141	69	Single rulebook	Technical standards on Art 12(8) MiFID - Assessment period	MiFID, Art. 12(8) (Assessment period)	Article 10 : Regulatory TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
142	69	Single rulebook	Technical standards on Art 12(8) - Assessment period	MiFID, Art. 12(8) (Assessment period)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
143	69	Single rulebook	Technical standards on Art 78(3) - Submitting information to ESMA in relation to sanctions	MiFID, Art. 78(3) (Submitting information to ESMA in relation to sanctions)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
144	69	Single rulebook	Technical standards on Art 84(4)	MiFID, Art. 84(4)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
145	69	Single rulebook	Technical standards on Art 85(4) - Exchange of information	MiFID, Art. 85(4) (Exchange of information)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
146	69	Single rulebook	Technical standards on Art 88(4) - Consultation prior to authorisation	MiFID, Art. 88(4) (Consultation prior to authorisation)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
147	69	Single rulebook	Guidelines on Art 21(2) - Regular review of conditions for initial authorisation	MiFID, Art. 21(2) (Regular review of conditions for initial authorisation)	Article 16: Guidelines and Recommendations	Discretionary	Not defined	Investment and Reporting	Yes		IPISC
148	69	Single rulebook	Guidelines on Art 76(2) - Effective application of sanctions	MiFID, Art. 76(2) (Effective application of sanctions)	Article 16: Guidelines and Recommendations	Mandatory	Not defined	Investment and Reporting	Yes		IPISC
149	69	Single rulebook	Technical advice on Art 2(3) - Exemptions	MiFID, Art. 2(3) (Exemptions)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
150	69	Single rulebook	Technical advice on Art 16(12) - Organisational requirements	MiFID, Art. 16(12) (Organisational requirements)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
151	69	Single rulebook	Technical advice on Art 27(7) - Obligation to execute orders on terms most favourable to the client	MiFID, Art. 27(7) (Obligation to execute orders on terms most favourable to the client)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
152	69	Single rulebook	Technical standards on Art 27(8) - Obligation to execute orders on terms most favourable to the client	MiFID, Art. 27(8) (Obligation to execute orders on terms most favourable to the client)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
153	69	Single rulebook	Technical advice on Art 30(5) - Transactions executed with eligible counterparties	MiFID, Art. 30(5) (Transactions executed with eligible counterparties)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
154	69	Single rulebook	Technical advice on Art 44(4) - Provision of services in other Member States	MiFID, Art. 44(4) (Provision of services in other Member States)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
155	69	Single rulebook	Technical Standard on Art 41(3) - Establishment of a branch	MiFID, Art. 41(3) (Establishment of a branch)	Article 15: Implementing TS	Discretionary	To be determined by the Commission	Investment and Reporting	Yes		IPISC
156	69	Single rulebook	Technical standards on Art 36(6) - General provisions	MiFIR, Art. 36(6) (General provisions)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
157	69	Single rulebook	Technical standards on Art 36(8) - Freedom to provide investment services and activities	MiFID, Art. 36(8) (Freedom to provide investment services and activities)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
158	69	Single rulebook	Technical standards Art 37(11) - Establishment of a branch	MiFID, Art. 37(11) (Establishment of a branch)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC

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159	69	Single rulebook	Technical standards on Art 44(2) - Provision of services in other Member States	MiFID, Art. 44(2) (Provision of services in other Member States)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
160	69	Single rulebook	Technical standards on Art 36(9) - Freedom to provide investment services and activities	MiFID, Art. 36(9) (Freedom to provide investment services and activities)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
161	69	Single rulebook	Technical standards on Art 37(12) - Establishment of a branch	MiFID, Art. 37(12) (Establishment of a branch)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
162	69	Single rulebook	Technical standards on Art 44(3) - Provision of services in other Member States	MiFID, Art. 44(3) (Provision of services in other Member States)	Article 15: Implementing TS	Mandatory	To be determined by the Commission	Investment and Reporting	Yes		IPISC
163	17	Single rulebook	ESMA guidelines on enforcement of financial information	Transparency Directive	Article 16: Guidelines and Recommendations	Discretionary	10/12/2013	Investment and Reporting	Yes	No, as addressed to NCAs and not market participants	CRSC
164	17	Single rulebook	ESMA guidelines on alternative performance measures	Transparency Directive	Article 16: Guidelines and Recommendations	Discretionary	10/12/2013	Investment and Reporting	Yes	Yes	CRSC
165	15	Investor Protection	Possible guidelines derived from the EC Action Plan on Corporate Governance issues and Company Law	Take Over Bid Directive	Article 16: Guidelines and Recommendations	Discretionary	30/12/2013	Investment and Reporting	Yes		CFSC
166	16	Convergence	Technical Advice to the Commission on 1) a comparative table of liability regimes under the prospectus directive and 2) criteria set out in Article 4(1)e of the Prospectus Directive	Prospectus Directive	Technical Advice	Mandatory	31/12/2013 and 31/12/2014	Investment and Reporting	No	Not required as is primarily a mapping task of legislation in place	CFSC
167	17	Single Rulebook	Specify cases in which the exemption referred to in Art. 9(4) subparagraph 1 of the TD applies to shares acquired for a short period of time through underwriting, technical standard	Transparency Directive, Art. 9(4) subparagraph 2 (revision not yet finalised)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG/CRSC
168	17	Single Rulebook	Specify the method of calculation of the 5% threshold referred to in Article 9(6) point (a) of the first subparagraph, technical standard	Transparency Directive, Art. 9(6) subparagraph 2 (revision not yet finalised)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG/CRSC
169	17	Single Rulebook	Specify the method to calculate the number of voting rights referred to in Article 13(1a) subparagraph 1 in case of financial instruments referenced to a basket of shares or an index, technical standard	Transparency Directive, Art. 13(1a) subparagraph 2 (revision not yet finalised)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG/CRSC
170	17	Single Rulebook	Specify the cases in which the exemptions referred to in Art. 13(4) subparagraph 1 apply to financial instruments held by a natural person or a legal entity fulfilling orders received from clients or responding to a client's requests to trade otherwise than on a proprietary basis, or hedging positions arising out of such dealings, technical standard.	Transparency Directive, Art. 13(4) subparagraph 2 (revision not yet finalised)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG/CRSC
171	21	Single Rulebook	Specify the information to be incorporated by reference, technical standard	Omnibus II Directive, Art. 1(2)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
172	21	Single Rulebook	Specify procedures for the approval of the prospectus and the conditions in accordance with which time limit technical standard may be adjusted, technical standard	Omnibus II Directive, Art. 1(3)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
173	21	Single Rulebook	Specify the provisions relating to the publication of the prospectus in Art. 14(1) to (4) of the PD, technical standard	Omnibus II Directive, Art. 1(4)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
174	21	Single Rulebook	Specify the provisions concerning the dissemination of advertisements announcing the intention to offer securities to the public or the admission to trading on a regulated market.	Omnibus II Directive, Art. 1(5)	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
175	20	Convergence	Updating and maintenance of Prospectus Recommendations	Prospectus and Transparency Directive	Article 16: Guidelines and Recommendations	Discretionary	30/12/2013	Investment and Reporting	No	No as are Q&As	CFSC
176	22	Single Rulebook	Technical standard - uniform template for the presentation of the summary in a prospectus (Article 5 (2))	Omnibus I Directive, Art. 5(2)	Article 15: Implementing TS	Mandatory	30/06/2014	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
177	22	Single Rulebook	Technical standard specifying situations where a significant new factor, material mistake or inaccuracy relating to the information included in the prospectus requires a supplement to be published (Article 5 (7))	Omnibus I Directive, Art. 5(7)	Article 10 : Regulatory TS	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	CFSC/SMSG/CWG
178	35	Single Rulebook	Guidelines on AIFMD remuneration	AIFMD, Art. 13(2) and Annex II	Article 16: Guidelines and Recommendations	Mandatory	31/03/2013	Investment and Reporting	Yes	Yes	IMSC
179	34	Single Rulebook	Technical standards of types of AIFM	AIFMD, Art. 4(4)	Article 10 : Regulatory TS	Mandatory	22/07/2013	Investment and Reporting	Yes	Yes	IMSC
180	34	Single Rulebook	Technical advice on AIFMD	AIFMD, Art. 67(5)	Technical Advice	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
181	36	Financial consumer protection	Guidelines on UCITS	UCITS IV	Article 16: Guidelines and Recommendations	Discretionary	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
182	33	Single Rulebook	Technical standards on UCITS (various articles as amended by Omnibus I)	UCITS IV	Article 10 : Regulatory TS	Discretionary	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
183	33	Single Rulebook	Guidelines on UCITS remuneration	UCITS V, Art. 14(a) (4) of proposal)	Article 16: Guidelines and Recommendations	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC

No	Link to No of WP 2013	Objectives	Name of Document	Relevant Legislative Text	Procedure	Mandatory / Discretionary	Deadline	Unit/Division	Consultation proposed?	Cost-benefit analysis proposed?	ESMA groups from which advice will be sought
184	33	Single Rulebook	Technical standards on UCITS V	UCITS V, Art. 99(3))	Article 15: Implementing TS	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
185	33	Single Rulebook	Technical advice on UCITS V (Article 1(8) of the proposal (new Article 26b(1) of UCITS Directive))	UCITS V	Technical Advice	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
186	37	Single Rulebook	Guidelines on a Common Definition of European Money Market Funds		Article 16: Guidelines and Recommendations	Discretionary	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
187	32	Single Rulebook	Technical standards on Venture Capital Regulation (Article 15 VCFR)	Venture Capital Regulation	Article 15: Implementing TS	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
188	32	Single Rulebook	Technical advice on Venture Capital Regulation (Article 8(5) of the proposal)	Venture Capital Regulation	Technical Advice	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
189	32	Single Rulebook	Technical standards on Social Entrepreneurship Funds Regulation (Article 16 of the proposal)	Social Entrepreneurship Funds Regulation	Article 15: Implementing TS	Mandatory	31/12/2013	Investment and Reporting	yes	Yes	IMSC
190	32	Single Rulebook	Technical advice on Social Entrepreneurship Funds Regulation (Articles 3(2), 8(5), 9(2) and 13(4) of the proposal)	Social Entrepreneurship Funds Regulation	Technical Advice	Mandatory	31/12/2013	Investment and Reporting	Yes	Yes	IMSC
191	4	Single Rulebook	Technical standards on structured finance instruments	CRA3 Regulation	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	CRA	Yes	Yes	CRA TC
192	4	Single Rulebook	Technical standards on content and format of ratings data for European Rating Platform	CRA3 Regulation	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	CRA	Yes	Yes	CRA TC
193	4	Single Rulebook	Technical standards on content and format of information to be provided by certified CRAs	CRA3 Regulation	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	CRA	Yes	Yes	CRA TC
194	4	Single Rulebook	Technical standards on content and format of periodic reporting on fees charged by CRAs	CRA3 Regulation	Article 10 : Regulatory TS	Mandatory	12 months after entry into force of the legislative text	CRA	Yes	Yes	CRA TC
196	4	Single Rulebook	Technical advice on rotation and re-securitisations	CRA3 Regulation	Technical Advice	Mandatory	31/12/2015	CRA	To be decided	To be decided	CRA TC
197	4	Single Rulebook	Technical advice on several provisions in Art. 39(4a) of CRA Regulation	CRA3 Regulation	Technical Advice	Mandatory	30/06/2015	CRA	To be decided	To be decided	CRA TC
198	4	Single Rulebook	Technical advice on alternative tools to enable investors to make their own credit risk assessment	CRA3 Regulation	Technical Advice	Mandatory	30/06/2015	CRA	To be decided	To be decided	CRA TC
199	4	Single Rulebook	Technical advice on the feasibility of a network of smaller credit rating agencies	CRA3 Regulation	Technical Advice	Mandatory	30/09/2013	CRA	To be decided	To be decided	CRA TC