

Guidelines compliance table

Guidelines on certain aspects of the MiFID compliance function requirements (ESMA/2012/388)

The following competent authorities comply or intend to comply with ESMA's guidelines on certain aspects of the MiFID compliance function requirements:

Member State		Competent authority	Complies or intends to comply
BE	Belgium	Financial Services and Markets Authority	Yes
BG	Bulgaria	Financial Supervision Commission	Yes
CZ	Czech Republic	Czech National Bank	Yes
DK	Denmark	Finanstilsynet	Yes
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes
EE	Estonia	Estonian Financial Supervision Authority	Yes
IE	Ireland	Central Bank of Ireland	Yes
EL	Greece	Hellenic Capital Market Commission	Yes
ES	Spain	Comisión Nacional del Mercado de Valores	Yes
FR	France	Autorité des Marchés Financiers	Yes
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes
IT	Italy	Commissione Nazionale per le Società e la Borsa	Yes
		Banca d'Italia	Yes
CY	Cyprus	Cyprus Securities and Exchange Commission	Yes
		Central Bank of Cyprus	Yes
		Authority for the Supervision and Development of Cooperative Societies	Yes
LV	Latvia	Financial and Capital Market Commission	Yes
LT	Lithuania	Bank of Lithuania	Yes
LU	Luxembourg	Commission de Surveillance du Secteur Financier	Yes
HU	Hungary	Magyar Nemzeti Bank	Yes
MT	Malta	Malta Financial Services Authority	Yes



NL	Netherlands	Netherlands Authority for the Financial Markets	Yes
AT	Austria	Financial Market Authority	Yes
PL	Poland	Komisja Nadzoru Finansowego	Yes
PT	Portugal	Comissão do Mercado de Valores Mobiliários	Yes
RO	Romania	Romanian Financial Supervisory Authority	Yes
SI	Slovenia	Securities Market Agency	Yes
SK	Slovakia	National Bank of Slovakia	Yes
FI	Finland	Finanssivalvonta	Yes
SE	Sweden	Finansinspektionen	Yes
UK	United Kingdom	Financial Conduct Authority	Yes
		Prudential Regulation Authority	Yes

European territories	Competent authority	Complies or intends to comply
Gibraltar ¹	Gibraltar FSC	Yes

EEA EFTA State ²	Competent authority	Complies or intends to comply	
LI	Liechtenstein	Financial Market Authority	Yes
NO	Norway	Finanstilsynet	Yes

Notes

Article 16(3) of the ESMA Regulation requires national competent authorities to inform ESMA whether they comply or intend to comply with each guideline or recommendation we issue that applies to them within two months of the guideline or recommendation being issued. If a competent authority does not comply or does not intend to comply it must inform ESMA of the reasons. We decide on a case by case basis whether to publish reasons.

Although we try to ensure the accuracy of this document, we rely on information provided by the competent authorities and therefore 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).

¹ Gibraltar is a European territory for whose external relations the UK is responsible.

² The EEA States other than the Member States of the European Union are not currently required to confirm their compliance with ESMA's guidelines. This table is based on information provided from those other EEA States on a voluntary basis.