



Guidelines compliance table

Guidelines for the assessment of knowledge and competence (ESMA/2015/1886)

The following competent authorities have informed ESMA that they comply, do not comply or intend to comply with the ESMA's guidelines for the assessment of knowledge and competence:

		Competent authority	Complies or intends to comply	Comments
Member States				
BE	Belgium	Financial Services and Markets Authority (FSMA)	Intends to comply	3 January 2018
BG	Bulgaria	Financial Supervision Commission (FSC)	Intends to comply	3 January 2018
CZ	Czech Republic	Czech National Bank (CNB)	Intends to comply	3 January 2018
DK	Denmark	Finanstilsynet	Intends to comply	3 January 2018
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Intends to comply	3 January 2018
EE	Estonia	Estonian Financial Supervision Authority (FSA)	Intends to comply	3 January 2018
IE	Ireland	Central Bank of Ireland	Intends to comply	3 January 2018
EL	Greece	Hellenic Capital Market Commission (HCMC)	Intends to comply	3 January 2018
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Intends to comply	3 January 2018
FR	France	Autorité des Marchés Financiers (AMF)	Intends to comply	3 January 2018
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Intends to comply	3 January 2018
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Intends to comply	3 January 2018
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Intends to comply	3 January 2018
LV	Latvia	Financial and Capital Market Commission (FKTK)	Intends to comply	3 January 2018
LT	Lithuania	Bank of Lithuania	Intends to comply	3 January 2018
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Intends to comply	3 January 2018
HU	Hungary	Magyar Nemzeti Bank (MNB)	Intends to comply	3 January 2018

MT	Malta	Malta Financial Services Authority (MFSA)	Intends to comply	3 January 2018
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	Intends to comply	3 January 2018
AT	Austria	Financial Market Authority (FMA)	Intends to comply	3 January 2018
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Intends to comply	3 January 2018
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Intends to comply	3 January 2018
		Banco de Portugal ¹	Intends to comply	3 January 2018
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Intends to comply	3 January 2018
SI	Slovenia	Securities Market Agency (ATVP)	Intends to comply	3 January 2018
SK	Slovakia	National Bank of Slovakia (NBS)	Intends to comply	3 January 2018
FI	Finland	Finanssivalvonta	Intends to comply	3 January 2018
SE	Sweden	Finansinspektionen	Intends to comply	3 January 2018
UK	United Kingdom	Financial Conduct Authority	Intends to comply	3 January 2018

		Competent authority	Complies or intends to comply	Comments
EEA EFTA States				
LI	Liechtenstein	Finanzmarktaufsicht	Intends to comply	3 January 2018
NO	Norway	Finanstilsynet	Intends to comply	3 January 2018
European Territories under Article 355(3) TFEU				
GI	Gibraltar	Financial Services Commission (Gibraltar)	Intends to comply	3 January 2018

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

** 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.

Notes

¹ Banco de Portugal is the authority responsible for the supervision of structured deposits in Portugal.



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 ESMA issues 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. ESMA decide on a case by case basis whether to publish these reasons.

For further information on the current position of any competent authority, please contact that competent authority. Contact details can be obtained from the ESMA website (www.esma.europa.eu).