



## GUIDELINES COMPLIANCE TABLE

### Guidelines and Recommendations for establishing consistent, efficient and effective assessments of interoperability arrangements (ESMA/2013/322)

The following competent authorities comply or intend to comply with ESMA Guidelines for establishing consistent, efficient and effective assessments of interoperability arrangements.

		<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
EE	Estonia	Finantsinspektsioon	<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>
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) Banque de France	<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) 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
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>	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</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 EMIR [Regulation (EU) No 648/2012], 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)).