



European Securities and  
Markets Authority

# Budget 2020 amendment n.2



## ESMA Revenue for 2020 – amendment n.2

Source of revenue	Budget 2020 n1 in Euro	Amending budget No.2/2020 in Euro	New amount after Budget Amendment 2/2020 in Euro
Contribution from National Competent Authorities from the Member States	22,015,379	-	22,015,379
Contribution from the European Union	17,639,880	- 250,000	17,389,880
Credit Rating Agencies' Fees	9,663,091	-	9,663,091
Trade Repositories' Fees	2,841,976	-	2,841,976
SFTR Fees	527,182	-	527,182
STS Fees	350,758	-	350,758
Contribution from Observers	625,437	-	625,437
Contribution from National Supervisory Authorities for delegated tasks	1,697,615	-	1,697,615
Charges	-	-	-
<b>TOTAL</b>	<b>55,361,318</b>	<b>- 250,000</b>	<b>55,111,318</b>

## ESMA Budgeted Expenditure for 2020 n.2

TITLE	Description	Budget appropriations 2020 n1 in Euro	Amending budget No.2/2020 in Euro	New amount after Budget Amendment 2/2020 in Euro
Chapter				
<b>1</b>	<b>STAFF EXPENDITURE</b>			
11	Staff in active employment	32,025,318	- 250,000	31,775,318
12	Expenditure relating to staff management and recruitment	500,000	-	500,000
14	Socio-medical infrastructure	770,000	-	770,000
16	Training	230,000	-	230,000
<b>1</b>	<b>TOTAL</b>	<b>33,525,318</b>	<b>- 250,000</b>	<b>33,275,318</b>

<b>2 INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE</b>				
20	Rental of building and associated costs	6,380,000	-	6,380,000
21	Information and communication technology	450,000	-	450,000
23	Current administrative expenditure	1,045,000	-	1,045,000
27	Representation expenses, receptions and events	6,000	-	6,000
<b>2</b>	<b>TOTAL</b>	<b>7,881,000</b>	<b>-</b>	<b>7,881,000</b>

<b>3 OPERATING EXPENDITURE</b>				
31	Training for a common supervisory culture	50,000	0	50,000
32	Collection of information: IT projects	9,145,000	0	9,145,000
34	Legal advice	150,000	0	150,000
35	Access to data for Economic Research	600,000	0	600,000
36	Mission expenses, travel and incidental expenses	600,000	0	600,000
37	Communications	460,000	0	460,000
38	Meeting expenses	415,000	0	415,000
39	Services on operational matters	85,000	0	85,000
<b>3</b>	<b>TOTAL TITLE III</b>	<b>11,505,000</b>	<b>0</b>	<b>11,505,000</b>

<b>4 DELEGATED TASKS</b>				
40	Single interface to Trade Repositories	400,000	-	400,000
41	Instruments Reference Data	2,050,000	-	2,050,000
<b>4</b>	<b>TOTAL TITLE IV</b>	<b>2,450,000</b>	<b>-</b>	<b>2,450,000</b>
<b>TOTAL EXPENDITURE</b>		<b>55,361,318</b>	<b>- 250,000</b>	<b>55,111,318</b>

## 2020 Establishment Plan

Function group and grade	Posts (temporary agent)	Function group and grade	Posts (temporary agent)
AD 16	2		
AD 15	3	AST 11	
AD 14		AST 10	
AD 13	3	AST 9	
AD 12	7	AST 8	2
AD 11	14	AST 7	3
AD 10	17	AST 6	3
AD 9	39	AST 5	3
AD 8	30	AST 4	1
AD 7	57	AST 3	
AD 6	10	AST 2	
AD 5	32	AST 1	
<b>AD total</b>	<b>214</b>	<b>AST total</b>	<b>12</b>
<b>TOTAL 226</b>			

**2020 BUDGET AMENDMENT N.2 - REVENUE (in EUR)**

2020 REVENUE	2020 REVENUE Opening budget for 2020	2020 REVENUE AMENDMENT N.1 [A]	AMENDMENT N. 2 OF 2020 BUDGET [B]	2020 REVENUE FOLLOWING AMENDMENT N. 2 [A+B]	% revenue source in 2020
<b>Fees Direct Supervision - TOTAL</b>	13,383,007	13,383,007	0	13,383,007	24.4%
CRA	9,663,091	9,663,091	0	9,663,091	17.6%
TR	2,841,976	2,841,976	0	2,841,976	5.2%
SFTR	527,182	527,182	0	527,182	1.0%
STS	350,758	350,758	0	350,758	0.6%
<b>NCAs contribution - TOTAL</b>	24,004,816	24,004,816	0	24,004,816	43.8%
NCAs contribution (MFF, ESAs Review and CMU)	22,640,816	22,640,816	0	22,640,816	41.3%
NCAs contribution to FIRDS	1,364,000	1,364,000	0	1,364,000	2.5%
<b>EU subsidy and EU advances - TOTAL</b>	20,112,045	17,639,880	-250,000	17,389,880	31.8%
EU subsidy (MFF, ESAs Review and CMU)	14,075,198	14,075,198	-250,000	13,825,198	25.2%
EU subsidy contribution to FIRDS	686,000	686,000	0	686,000	1.3%
EU advance EMIR 2.2.	2,788,216	1,400,000	0	1,400,000	2.6%
EU advance Benchmarks (ESAs Review direct supervision)	515,249	229,648	0	229,648	0.4%
EU advance Data Service Providers (ESAs Review direct supervision)	2,047,382	1,249,034	0	1,249,034	2.3%
Participation charges (ESMA 2020 conference)	200,000	0	0	0	0
<b>SUB-TOTAL BUDGET (Fees, NCAs contributions, EU Subsidy, EU advances, FIRDS, Participation charges)</b>	57,699,868	55,027,703	-250,000	54,777,703	100%
Annual contribution of NCAs and other external entities to TRACE	333,615	333,615	0	333,615	
<b>TOTAL BUDGET</b>	58,033,483	55,361,318	-250,000	55,111,318	

						
European Securities and Markets Authority		ESMA 63-43-1613				
2020 BUDGET AMENDMENT N.2 - EXPENDITURE (in EUR)						
TITLE		2020 EXPENDITURE (Opening budget for 2020)	2020 EXPENDITURE (Amendment N.1) [A]	AMENDMENT N. 2 OF 2020 BUDGET [B]	2020 EXPENDITURE FOLLOWING AMENDMENT N.2 [A+B]	BUDGETARY COMMENTS
Chapter	Article					
Items						
1	TITLE 1 - STAFF EXPENDITURE					
11	<b>Staff in active employment</b>					
110	<i>Staff under Staff Regulations</i>					
1100	Staff salaries, allowances, insurance and grants	31,448,000	29,572,632	-250,000	29,322,632	Includes all salary related costs for TAs, CAs, SNEs and trainees
112	<i>Temporary workers</i>					
1120	Temporary workers	15,000	55,000	0	55,000	Interims
113	<i>Contributions by the agency to pension scheme</i>					
1133	Contribution by the agency to pension scheme	3,377,483	2,397,686	0	2,397,686	Legal requirement under the recent change in the Staff Regulations
12	<b>Expenditure relating to staff management and recruitment</b>					
120	<i>Expenditure relating to staff management and recruitment</i>					
1200	Expenditure relating to staff management and recruitment	600,000	500,000	0	500,000	Recruitment costs, reimbursement of candidates, visibility of vacancy notices, SLAs with other institutions
14	<b>Socio-medical infrastructure</b>					
140	<i>Medical service</i>					
1400	Medical service	75,000	70,000	0	70,000	Medical check ups for staff, in line with the Staff Regulations
141	<i>Schools and kindergartens</i>					
1410	Schools and kindergartens	120,000	100,000	0	100,000	Expenditure in line with Social Measure approved by the Board in 2016
142	<i>Canteen</i>					
1420	Canteen and associated services	625,000	600,000	0	600,000	ESMA's contribution to canteen costs and others
16	<b>Training</b>					
160	<i>Training</i>					
1600	Training	305,000	230,000		230,000	Training and team building programmes
1	<b>TOTAL TITLE 1</b>	<b>36,565,483</b>	<b>33,525,318</b>	<b>-250,000</b>	<b>33,275,318</b>	
2	TITLE 2 - INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE					
20	<b>Rental of building and associated costs</b>					
200	<i>Building rental, charges and taxes</i>					
2000	Building rental, charges and taxes	5,700,000	5,700,000	0	5,700,000	Building rental and associated costs
202	<i>Maintenance, works and refurbishment</i>					
2020	Maintenance, works and refurbishment	60,000	60,000	0	60,000	Building maintenance and works
209	<i>Other expenditure on building, security and movable property</i>					
2090	Other expenditure on building, security and movable property	800,000	620,000	0	620,000	Other expenditure related to building, building security and furniture, including costs for new premises
21	<b>Information and communication technology</b>					
210	<i>Information and communication technology</i>					
2100	ICT Office Supplies	600,000	450,000	0	450,000	In line with the expenditure for ICT office equipment and supplies
23	<b>Current administrative expenditure</b>					
230	<i>Current administrative expenditure</i>					
2300	Facility management services	410,000	410,000	0	410,000	Facility management including postal charges and stationery costs
2304	Services on administrative matters	380,000	545,000	0	545,000	General administrative costs including cybersecurity. Increased costs are for cybersecurity and general administrative
2305	Subscriptions	60,000	85,000	0	85,000	General subscriptions
2308	Library expenditure	5,000	5,000	0	5,000	Specialised books
27	<b>Representation expenses, receptions and events</b>					
270	<i>Representation expenses, receptions and events</i>					
2700	Representation expenses, receptions and events	6,000	6,000		6,000	Representation expenses involving participation of third parties
2	<b>TOTAL TITLE 2</b>	<b>8,021,000</b>	<b>7,881,000</b>	<b>0</b>	<b>7,881,000</b>	
3	TITLE 3 - OPERATIONAL EXPENDITURE					
31	<b>Training for a common supervisory culture</b>					
310	<i>Training costs</i>					
3100	Training costs	50,000	50,000	0	50,000	Training of NCAs on common supervisory culture and supervisory convergence
32	<b>Collection of information: IT projects</b>					
320	<i>ICT projects costs</i>					
3200	ICT projects costs	8,540,000	9,145,000	0	9,145,000	IT project costs. In line with the updated IT Work Programme. The increased costs are due to MMF, CSDR, and some internal tools
34	<b>Legal advice</b>					
340	<i>Legal advice</i>					
3400	Legal advice	150,000	150,000	0	150,000	Legal related costs
35	<b>Access to data for Economic Research</b>					
350	<i>Access to data for Economic Research</i>					
3500	Access to data for Economic Research	600,000	600,000	0	600,000	Acquisition of operational datasets and subscriptions
36	<b>Mission expenses, travel and incidental expenses</b>					
360	<i>Mission expenses</i>					
3600	Mission expenses	610,000	600,000	0	600,000	Business trips related costs
37	<b>Communications</b>					
370	<i>Communications</i>					
3700	Translation and interpretation	257,000	300,000	0	300,000	Translation of guidelines and other relevant documents
3701	Communications services	260,000	160,000	0	160,000	Communications
38	<b>Meeting expenses</b>					
380	<i>General meeting expenses</i>					
3800	General meeting expenses	225,000	225,000	0	225,000	General meeting costs
381	<i>Stakeholders Groups - Consultations</i>					
3810	Stakeholders Groups - Consultations	110,000	100,000	0	100,000	All stakeholder groups related expenditure
382	<i>Governance</i>					
3820	Governance	70,000	50,000	0	50,000	Management Board and Board of Supervisors
383	<i>Board of Appeal</i>					
3830	Board of Appeal costs	40,000	40,000	0	40,000	Board of Appeal costs
39	<b>Services on operational matters</b>					
390	<i>Services on operational matters</i>					
3900	Services on operational matters	85,000	85,000	0	85,000	Studies, impact assessments and other services for operations
3	<b>TOTAL TITLE 3</b>	<b>10,997,000</b>	<b>11,505,000</b>	<b>0</b>	<b>11,505,000</b>	
<b>TOTAL EXPENDITURE TITLES 1, 2, 3</b>		<b>55,583,483</b>	<b>52,911,318</b>	<b>-250,000</b>	<b>52,661,318</b>	
4	TITLE 4 - DELEGATED TASKS					
40	<b>Single Interface to Trade Repositories (TRACE)</b>					
400	<i>Single Interface to Trade Repositories</i>					
4000	Single Interface to Trade Repositories	400,000	400,000	0	400,000	Out of which, ESMA contribution: €66,385
41	<b>Instruments Reference Data (FIRDS)</b>					
410	<i>Instruments Reference Data</i>					
4100	Instruments Reference Data	2,050,000	2,050,000	0	2,050,000	Out of which, ESMA contribution: €686,000
4	<b>TOTAL TITLE 4</b>	<b>2,450,000</b>	<b>2,450,000</b>	<b>0</b>	<b>2,450,000</b>	
<b>TOTAL EXPENDITURE INCLUDING ALL TITLES AND DELEGATED TASKS</b>		<b>58,033,483</b>	<b>55,361,318</b>	<b>-250,000</b>	<b>55,111,318</b>	