



European Securities and
Markets Authority

Budget 2021 amendment n.1



ESMA Revenues for 2021 - amendment n.1

Source of revenue	Budget 2021 n1 in Euro	Amending budget No.1/2021 in Euro	New amount after Budget Amendment 1/2021 in Euro
Contribution from National Competent Authorities from the Member States	23,936,648	-	23,936,648
Contribution from the European Union	18,071,139	-	18,071,139
Credit Rating Agencies' Fees	10,545,743	-	10,545,743
Trade Repositories' Fees	2,405,728	-	2,405,728
SFTR Fees	643,298	-	643,298
STS Fees	357,230	- 275,390	81,840
EMIR 2.2	3,135,869	- 858,489	2,277,380
Contribution from Observers	741,073	-	741,073
Contribution from National Supervisory Authorities for delegated tasks	1,722,449	-	1,722,449
Charges	-	-	-
TOTAL	61,559,176	- 1,133,879	60,425,297

ESMA Budgeted expenditures for 2021 - amendment n.1

TITLE	Description	Budget appropriations 2021 n1 in Euro	Amending budget No.1/2021 in Euro	New amount after Budget Amendment 1/2021 in Euro
Chapter				
1	STAFF EXPENDITURE			
11	Staff in active employment	37,599,669	-	1,133,879
12	Expenditure relating to staff management and recruitment	535,000	-	535,000
14	Socio-medical infrastructure	819,577	-	819,577
16	Training	300,000	-	300,000
1	TOTAL	39,254,246	-	1,133,879

2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE			
20	Rental of building and associated costs	6,216,000	-	6,216,000
21	Information and communication technology	450,000	-	450,000
23	Current administrative expenditure	1,262,000	-	1,262,000
27	Representation expenses, receptions and events	6,000	-	6,000
2	TOTAL	7,934,000	-	7,934,000

3 OPERATING EXPENDITURE				
31	Training for a common supervisory culture	0	-	0
32	Collection of information: IT projects	9,930,000	-	9,930,000
34	Legal advice	80,000	-	80,000
35	Access to data for Economic Research	625,000	-	625,000
36	Mission expenses, travel and incidental expenses	135,300	-	135,300
37	Communications	783,000	-	783,000
38	Meeting expenses	272,507	-	272,507
39	Services on operational matters	55,123	-	55,123
3	TOTAL TITLE III	11,880,930	-	11,880,930

4 DELEGATED TASKS				
40	Single interface to Trade Repositories	700,000	-	700,000
41	Instruments Reference Data	1,790,000	-	1,790,000
4	TOTAL TITLE IV	2,490,000	-	2,490,000
TOTAL EXPENDITURE		61,559,176	- 1,133,879	60,425,297

2021 Establishment Plan

Function group and grade	Posts (temporary agent)		Function group and grade	Posts (temporary agent)
AD 16	1			
AD 15	3		AST 11	
AD 14	1		AST 10	
AD 13	3		AST 9	
AD 12	10		AST 8	2
AD 11	15		AST 7	3
AD 10	24		AST 6	3
AD 9	42		AST 5	3
AD 8	40		AST 4	1
AD 7	45		AST 3	
AD 6	17		AST 2	
AD 5	37		AST 1	
AD total	238		AST total	12
TOTAL 250				

2021 BUDGET AMENDMENT N.1 - REVENUE (in EUR)

2021 REVENUE	2021 REVENUE Opening budget for 2021 [A]	AMENDMENT N. 1 OF 2021 BUDGET [B]	2021 REVENUE FOLLOWING AMENDMENT N.1 [A+B]	% revenue source in 2021
Fees Direct Supervision - TOTAL	17,087,867	-1,133,879	15,953,988	26.7%
CRA	10,545,743	0	10,545,743	17.6%
TR	2,405,728	0	2,405,728	4.0%
SFTR	643,298	0	643,298	1.1%
SR	357,230	-275,390	81,840	0.1%
EMIR 2.2.	3,135,869	-858,489	2,277,380	3.8%
NCA's contribution - TOTAL	25,785,570	0	25,785,570	43.1%
NCA's contribution	24,677,721	0	24,677,721	41.3%
NCA's contribution to FIRDS	1,107,849	0	1,107,849	1.9%
EU subsidy and EU advances - TOTAL	18,071,139	0	18,071,139	30.2%
EU subsidy (with FIRDS)	15,821,850	0	15,821,850	26.5%
EU advance (ESAs Review direct supervision BMRK and DSRP)	2,249,289	0	2,249,289	3.8%
SUB-TOTAL BUDGET (Fees, NCA's contributions, EU Subsidy, EU advances, FIRDS)	60,944,576	-1,133,879	59,810,697	100.0%
Annual contribution of NCA's and other external entities to TRACE	614,600	0	614,600	
TOTAL BUDGET	61,559,176	-1,133,879	60,425,297	

Due to rounding, there might be a €1 difference in the sub-totals and totals.

2021 BUDGET AMENDMENT N.1 - EXPENDITURE (in EUR)

TITLE		2021 EXPENDITURE* (Opening budget, including budget transfers) [A]	AMENDMENT N. 1 OF 2021 BUDGET [B]	2021 EXPENDITURE FOLLOWING AMENDMENT N.1 [A+B]	BUDGETARY COMMENTS
Chapter					
Article					
Items					
1	TITLE 1 - STAFF EXPENDITURE				
11	Staff in active employment				
110	<i>Staff under Staff Regulations</i>				
1100	Staff salaries, allowances, insurance and grants	34,406,068	-1,133,879	33,272,189	Includes all salary related costs for TAs, CAs, SNEs and trainees
112	<i>Temporary workers</i>				
1120	Temporary workers	30,000		30,000	Interims
113	<i>Contributions by the agency to pension scheme</i>				
1133	Contribution by the agency to pension scheme	3,163,601		3,163,601	Pension contribution in line with the EU Staff Regulations
12	Expenditure relating to staff management and recruitment				
120	<i>Expenditure relating to staff management and recruitment</i>				
1200	Expenditure relating to staff management and recruitment	535,000		535,000	Recruitment and management costs, reimbursement of candidates, visibility of vacancy notices
14	Socio-medical infrastructure				
140	<i>Medical service</i>				
1400	Medical service	75,000		75,000	Medical check-ups for staff, in line with the Staff Regulations
141	<i>Schools and kindergartens</i>				
1410	Schools and kindergartens	274,000		274,000	Expenditure in line with Social Measure
142	<i>Canteen</i>				
1420	Canteen and associated services	470,577		470,577	ESMA's contribution to canteen costs and others
16	Training				
160	<i>Training</i>				
1600	Training	300,000		300,000	Training and team building programmes
1	TOTAL TITLE 1	39,254,246	-1,133,879	38,120,367	
2	TITLE 2 - INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE				
20	Rental of building and associated costs				
200	<i>Building rental, charges and taxes</i>				
2000	Building rental, charges and taxes	5,756,000		5,756,000	Building rental and associated costs
202	<i>Maintenance, works and refurbishment</i>				
2020	Maintenance, works and refurbishment	60,000		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	400,000		400,000	Other expenditure related to building, building security and furniture
21	Information and communication technology				
210	<i>Information and communication technology</i>				
2100	ICT Office Supplies	450,000		450,000	ICT office equipment and supplies
23	Current administrative expenditure				
230	<i>Current administrative expenditure</i>				
2300	Facility management services	370,000		370,000	Facility management including postal charges and stationery costs
2304	Services on administrative matters	760,000		760,000	General administrative costs including cybersecurity
2305	Subscriptions	120,000		120,000	General subscriptions
2308	Library expenditure	12,000		12,000	Specialised books
27	Representation expenses, receptions and events				
270	<i>Representation expenses, receptions and events</i>				
2700	Representation expenses, receptions and events	6,000		6,000	Representation expenses involving participation of third parties
2	TOTAL TITLE 2	7,934,000	0	7,934,000	
3	TITLE 3 - OPERATIONAL EXPENDITURE				
31	Training for a common supervisory culture				
310	<i>Training costs</i>				
3100	Training costs	0		0	Training of NCAs on common supervisory culture and supervisory convergence
32	Collection of information: IT projects				
320	<i>ICT projects costs</i>				
3200	ICT projects costs	9,930,000		9,930,000	IT project costs in line with the IT Work Programme
34	Legal advice				
340	<i>Legal advice</i>				
3400	Legal advice	80,000		80,000	Legal related costs
35	Access to data for Economic Research				
350	<i>Access to data for Economic Research</i>				
3500	Access to data for Economic Research	625,000		625,000	Acquisition of operational datasets and subscriptions
36	Mission expenses, travel and incidental expenses				
360	<i>Mission expenses</i>				
3600	Mission expenses	135,300		135,300	Business trips related costs
37	Communications				
370	<i>Communications</i>				
3700	Translation and interpretation	570,000		570,000	Translation of guidelines and other relevant documents
3701	Communications services	213,000		213,000	Communications
38	Meeting expenses				
380	<i>General meeting expenses</i>				
3800	General meeting expenses	57,507		57,507	General meeting costs
381	<i>Stakeholders Groups - Consultations</i>				
3810	Stakeholders Groups - Consultations	70,000		70,000	All stakeholder groups related expenditure
382	<i>Governance</i>				
3820	Governance	35,000		35,000	Management Board and Board of Supervisors
383	<i>Board of Appeal</i>				
3830	Board of Appeal costs	110,000		110,000	Board of Appeal costs
39	Services on operational matters				
390	<i>Services on operational matters</i>				
3900	Services on operational matters	55,123		55,123	Studies, impact assessments and other services for operations
3	TOTAL TITLE 3	11,880,930	0	11,880,930	
	TOTAL EXPENDITURE TITLES 1, 2, 3	59,069,176	-1,133,879	57,935,297	
4	TITLE 4 - DELEGATED TASKS				
40	Single Interface to Trade Repositories (TRACE)				
400	<i>Single Interface to Trade Repositories</i>				
4000	Single Interface to Trade Repositories	700,000	0	700,000	Out of which, ESMA's contribution: €85,401
41	Instruments Reference Data (FIRDS)				
410	<i>Instruments Reference Data</i>				
4100	Instruments Reference Data	1,790,000	0	1,790,000	Out of which, ESMA's contribution: €682,151
4	TOTAL TITLE 4	2,490,000	0	2,490,000	
	TOTAL EXPENDITURE INCLUDING ALL TITLES AND DELEGATED TASKS	61,559,176	-1,133,879	60,425,297	

*The 2021 final expenditure amounts per budget line may differ from the figures in this table, as ESMA may process additional budget transfers by the end of the year in order to optimise the yearly budget execution.