

GUIDELINES COMPLIANCE TABLE

ESMA70-145-1345

12 January 2021

Guidelines on transaction reporting, order record keeping and clock synchronization under MiFID II (ESMA/2016/1452).

The following competent authorities comply or intend to comply with ESMA Guidelines on transaction reporting, order record keeping and clock synchronization under MiFID II:

		Competent authority	Complies or intends to comply	Comments
Member States				
AT	Austria	Financial Market Authority (FMA)	Yes	
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Yes	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	

		Competent authority	Complies or intends to comply	Comments
CZ	Czech Republic	Czech National Bank (CNB)	Yes	
DK	Denmark	Finanstilsynet	Yes	
DE	Germany	Bundesanstalt für Finanzdienstleistungs- aufsicht (BaFin)	Yes	
EE	Estonia	Estonian Financial Supervision Authority (FSA)	Yes	
EL	Greece	Hellenic Capital Market Commission (HCMC)	Yes	
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
FI	Finland	Finanssivalvonta (FSA)	Yes	
FR	France	Autorité des Marchés Financiers (AFM)	Yes	
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga	Yes	
HU	Hungary	Magyar Nemzeti Bank (MNB)	Yes	
IE	Ireland	Central Bank of Ireland (CBI)	Yes	
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Yes	

		Competent authority	Complies or intends to comply	Comments
LV	Latvia	Financial and Capital Market Commission (FCMC)	Yes	
LT	Lithuania	Bank of Lithuania	Yes	
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Yes	
MT	Malta	Malta Financial Services Authority (MFSA)	Yes	
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	Yes	
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Yes	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Yes	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Yes	
SE	Sweden	Finansinspektionen (FI)	Yes	
SI	Slovenia	Agencija za trg vrednostnih papirjev (ATVP)	Yes	
SK	Slovakia	National Bank of Slovakia (NBS)	Yes	
EEA EFTA States*				
IS	Iceland	Central Bank of Iceland	Intends to comply	Pending incorporation of

			Complies or intends to comply	Comments
				MiFID II into the EEA Agreement
LI	Liechtenstein	Finanzmarktaufsicht	Yes	
NO	Norway	Finanstilsynet	Intends to comply	Pending incorporation of MiFID II into the EEA Agreement
GB	United Kingdom	Financial Conduct Authority (FCA) ¹	Yes	

* 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 MiFID II, which has not yet been incorporated in the EEA Agreement. 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

Article 16(3) of Regulation (EU) No 1095/2010 (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

¹ The United Kingdom formally left the EU on 31 January 2020, following which the withdrawal agreement entered into force. The withdrawal agreement marked the start of a transition period which lasted until 31 December 2020, whereby the UK was no longer an EU Member State but EU law continued to apply to it. The compliance status recorded in this table for the competent authority of the United Kingdom therefore reflects their compliance status as at 31 December 2020 and is retained for the purpose of historical information. Please note that, from 1 January 2021, EU law no longer applies to those competent authorities.



authority does not comply or does not intend to comply it must inform us of the reasons. We decide on a case by case basis whether to publish reasons.

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 content 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)