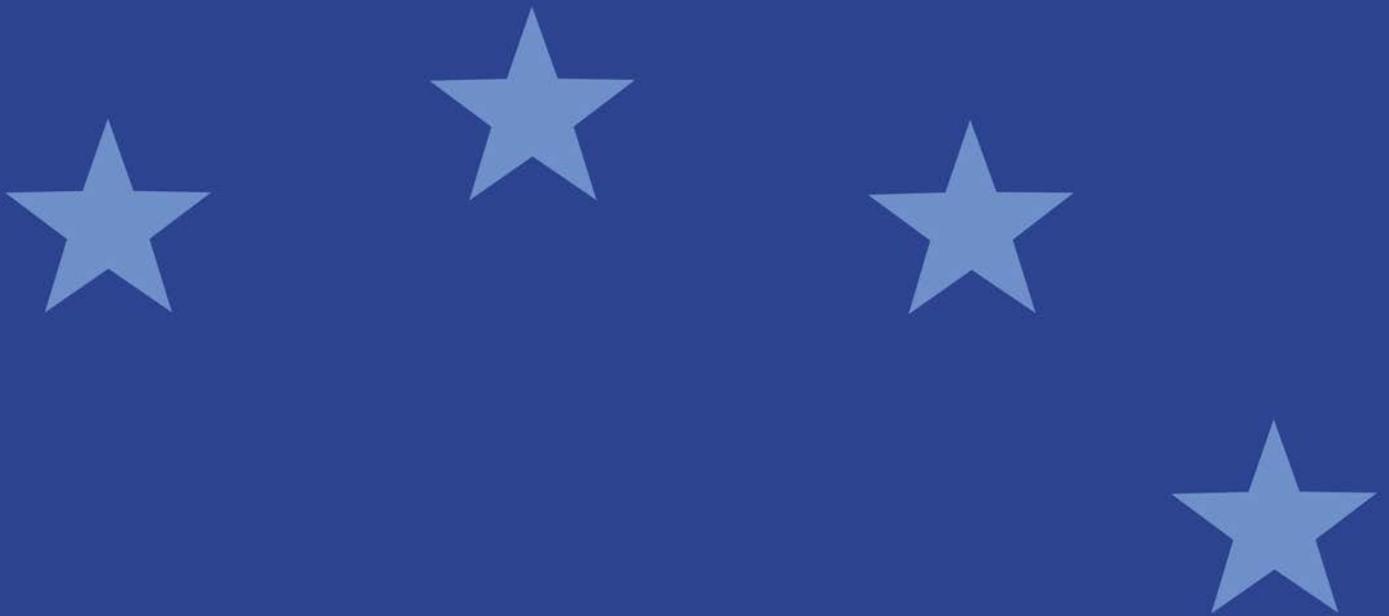




European Securities and
Markets Authority

Budget 2021





ESMA Budget Revenues for 2021

Source of revenue	Budget 2021 In Euro
Contribution from National Competent Authorities from the Member States	23,936,648
Contribution from the European Union	18,071,139
Credit Rating Agencies' Fees	10,545,743
Trade Repositories' Fees	2,405,728
SFTR Fees	643,298
STS Fees	357,230
EMIR 2.2.	3,135,869
Contribution from Observers	741,073
Contribution from National Supervisory Authorities for delegated tasks	1,722,449
TOTAL	61,559,176

ESMA Budgeted Expenditure for 2021

TITLE	Description	2021 budget appropriations
Chapter		In Euro
1	STAFF EXPENDITURE	
11	Staff in active employment	37,914,176
12	Expenditure relating to staff management and recruitment	450,000
14	Socio-medical infrastructure	999,000
16	Training	300,000
1	TOTAL TITLE I	39,663,176

2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE	
20	Rental of building and associated costs	6,160,000
21	Information and communication technology	450,000
23	Current administrative expenditure	1,215,000
27	Representation expenses, receptions and events	6,000
2	TOTAL TITLE II	7,831,000

3	OPERATING EXPENDITURE	
31	Training for a common supervisory culture	25,000
32	Collection of information: IT projects	9,780,000
34	Legal advice	120,000
35	Access to data for Economic Research	600,000
36	Mission expenses, travel and incidental expenses	400,000
37	Communications	260,000
38	Meeting expenses	360,000
39	Services on operational matters	30,000
3	TOTAL TITLE III	11,575,000

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

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 - REVENUE (in EUR)

2021 REVENUE	2020 REVENUE (including budget amendment n.4)	2021 DRAFT REVENUE presented in December 2019 Boards	2021 REVENUE Opening budget for 2021	% revenue source in 2021	% difference revenue source 2021 vs 2020
Fees Direct Supervision - TOTAL	14,708,780	18,872,720	17,087,867	28.0%	16.2%
CRA	9,645,966	10,545,743	10,545,743	19.7%	9.3%
TR	2,713,483	2,992,856	2,405,728	4.5%	-11.3%
SFTR	466,710	636,555	643,298	1.2%	37.8%
STS	165,000	357,230	357,230	0.7%	116.5%
EMIR 2.2.	1,717,620	4,340,336	3,135,869	5.9%	82.6%
NCA's contribution - TOTAL	23,181,871	25,785,570	25,785,570	42.3%	11.2%
NCA's contribution (MFF, ESAs Review and CMU, without ECSP)	21,817,871	24,677,721	24,677,721	46.1%	13.1%
NCA's contribution to FIRDS	1,364,000	1,107,849	1,107,849	2.1%	-18.8%
EU subsidy and EU advances - TOTAL	15,664,157	21,203,660	18,071,139	29.7%	15.4%
EU subsidy (MFF, ESAs Review and CMU, without ECSP)	13,516,793	15,139,699	15,139,699	28.3%	12.0%
EU subsidy contribution to FIRDS	686,000	682,151	682,151	1.3%	-0.6%
EU advance (ESAs Review direct supervision BMRK and DSRP)	1,461,364	5,381,810	2,249,289	4.2%	53.9%
SUB-TOTAL BUDGET (Fees, NCA's contributions, EU Subsidy, EU advances, FIRDS)	53,554,808	65,861,950	60,944,576	100%	13.80%
Annual contribution of NCA's and other external entities to TRACE	333,615	634,000	614,600		84.22%
TOTAL BUDGET	53,888,423	66,495,950	61,559,176		14.23%

		ESMA REGULAR USE			
2021 BUDGET - EXPENDITURE (in EUR)					
TITLE		2020 EXPENDITURE (estimated at year-end, including amendments and transfers)	2021 EXPENDITURE (Opening budget for 2021)	% difference 2021 vs 2020	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	27,216,138	34,740,575	28%	Includes all salary related costs for TAs, CAs, SNEs and trainees
112	<i>Temporary workers</i>				
1120	Temporary workers	25,000	10,000	-60%	Interims
113	<i>Contributions by the agency to pension scheme</i>				
1133	Contribution by the agency to pension scheme	2,428,301	3,163,601	30%	Legal requirement under the recent change in the 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	470,000	450,000	-4%	Recruitment costs, reimbursement of candidates, visibility of vacancy notices, SLAs with other institutions
14	Socio-medical infrastructure				
140	<i>Medical service</i>				
1400	Medical service	38,000	75,000	97%	Medical check ups for staff, in line with the Staff Regulations
141	<i>Schools and kindergartens</i>				
1410	Schools and kindergartens	250,000	274,000	10%	Expenditure in line with Social Measure approved by the Board in 2016
142	<i>Canteen</i>				
1420	Canteen and associated services	277,000	650,000	135%	ESMA's contribution to canteen costs and others
16	Training				
160	<i>Training</i>				
1600	Training	260,000	300,000	15%	Training and team building programmes
1	TOTAL TITLE 1	30,964,439	39,663,176	28%	
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	5,700,000	5,700,000	0%	Building rental and associated costs
202	<i>Maintenance, works and refurbishment</i>				
2020	Maintenance, works and refurbishment	60,000	60,000	0%	Building maintenance and works
209	<i>Other expenditure on building, security and movable property</i>				
2090	Other expenditure on building, security and movable property	592,000	400,000	-32%	Other expenditure related to building, building security and furniture, including costs for new premises
21	Information and communication technology				
210	<i>Information and communication technology</i>				
2100	ICT Office Supplies	450,000	450,000	0%	In line with the expenditure for ICT office equipment and supplies
23	Current administrative expenditure				
230	<i>Current administrative expenditure</i>				
2300	Facility management services	368,115	370,000	1%	Facility management including postal charges and stationery costs
2304	Services on administrative matters	655,000	755,000	15%	General administrative costs including cybersecurity.
2305	Subscriptions	85,000	85,000	0%	General subscriptions
2308	Library expenditure	2,000	5,000	150%	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	0%	Representation expenses involving participation of third parties
2	TOTAL TITLE 2	7,918,115	7,831,000	-1%	
3	TITLE 3 - OPERATIONAL EXPENDITURE				
31	Training for a common supervisory culture				
310	<i>Training costs</i>				
3100	Training costs	0	25,000	100%	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	10,916,251	9,780,000	-10%	IT project costs. In line with the updated IT Work Programme.
34	Legal advice				
340	<i>Legal advice</i>				
3400	Legal advice	65,000	120,000	85%	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	600,000	600,000	0%	Acquisition of operational datasets and subscriptions
36	Mission expenses, travel and incidental expenses				
360	<i>Mission expenses</i>				
3600	Mission expenses	70,811	400,000	465%	Business trips related costs
37	Communications				
370	<i>Communications</i>				
3700	Translation and interpretation	603,200	200,000	-67%	Translation of guidelines and other relevant documents
3701	Communications services	190,000	60,000	-68%	Communications
38	Meeting expenses				
380	<i>General meeting expenses</i>				
3800	General meeting expenses	51,929	200,000	285%	General meeting costs
381	<i>Stakeholders Groups - Consultations</i>				
3810	Stakeholders Groups - Consultations	30,000	80,000	167%	All stakeholder groups related expenditure
382	<i>Governance</i>				
3820	Governance	13,000	50,000	285%	Management Board and Board of Supervisors
383	<i>Board of Appeal</i>				
3830	Board of Appeal costs	13,600	30,000	121%	Board of Appeal costs
39	Services on operational matters				
390	<i>Services on operational matters</i>				
3900	Services on operational matters	2,077	30,000	1345%	Studies, impact assessments and other services for operations
3	TOTAL TITLE 3	12,555,868	11,575,000	-8%	
	TOTAL EXPENDITURE TITLES 1, 2, 3	51,438,422	59,069,176	15%	
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	400,000	700,000	75%	Out of which, ESMA contribution: €85,401
41	Instruments Reference Data (FIRDS)				
410	<i>Instruments Reference Data</i>				
4100	Instruments Reference Data	2,050,000	1,790,000	-13%	Out of which, ESMA contribution: €682,151
4	TOTAL TITLE 4	2,450,000	2,490,000	2%	
	TOTAL EXPENDITURE INCLUDING ALL TITLES AND DELEGATED TASKS	53,888,422	61,559,176	14%	