

GUIDELINES COMPLIANCE TABLE

MAR Guidelines for persons receiving market soundings (ESMA/2016/1477)

These guidelines apply from 10 January 2017. The following competent authorities comply, do not comply or intend to comply with the ESMA's MAR guidelines for persons receiving market soundings:

		Competent authority	Complies or intends to comply	Comments
Member States				
AT	Austria	Financial Market Authority (FMA)	Yes	Link to the confirmation of compliance published on FMA website in German and English
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Yes	Ordinance No. 65 of 22.03.2019 for persons receiving market soundings (text available in Bulgarian)
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	
CZ	Czech Republic	Czech National Bank (CNB)	Yes	
DK	Denmark	Danish Financial Supervisory Authority (DFSA)	Yes	
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes	
EE	Estonia	Estonian Financial Supervision Authority (FSA)	Yes	Link to the confirmation of compliance published on FSA website.

		Competent authority	Complies or intends to comply	Comments
EL	Greece	Hellenic Capital Market Commission (HCMC)	Yes	HCMC has incorporated said GLs in its supervisory practice see at this link
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
FI	Finland	Finanssivalvonta (FSA)	Yes	
FR	France	Autorité des Marchés Financiers (AMF)	Yes	
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes	
HU	Hungary	Magyar Nemzeti Bank (MNB)	Yes	Link to the related Guidance (Part 4.) published on MNB website.
IE	Ireland	Central Bank of Ireland	Yes	
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Yes	Link to the confirmation of compliance published on CONSOB website.
LV	Latvia	Financial and Capital Market Commission (FCMC)	Yes	Link to the confirmation of compliance published on FCMC website.
LT	Lithuania	Bank of Lithuania	Yes	Link to the confirmation of compliance published on BoL website.
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Yes	Link to the confirmation of compliance published on CSSF website.
MT	Malta	Malta Financial Services Authority (MFSA)	Yes	Link to the confirmation of compliance published on MFSA website.

		Competent authority	Complies or intends to comply	Comments
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	Yes	Link to the confirmation of compliance published on AFM website (in Dutch).
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Yes	Link to the confirmation of compliance published on KNF website.
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Yes	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Yes	Link to the confirmation of compliance on ASF website.
SE	Sweden	Finansinspektionen (FI)	Yes	
SI	Slovenia	Securities Market Agency (SMA)	Yes	
SK	Slovakia	National Bank of Slovakia (NBS)	Yes	Link to the confirmation of compliance on NBS website.
EEA EFTA States **				
IS	Iceland	The Central Bank of Iceland	Yes	
LI	Liechtenstein	Financial Market Authority (FMA)	Yes	
NO	Norway	Finanstilsynet	Yes	Link to the confirmation of compliance on Finanstilsynet website (under section "Markedsmisbruksforordningen (MAR)").

* 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 or recommendations 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 or recommendations 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 or recommendations relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on guidelines relating to the Market Abuse Regulation (MAR) which has been incorporated in the EEA Agreement.

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 set of guidelines or recommendations we issue. If a competent 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).