

Name of the processing operation	Controller			Purpose(s) of the processing	Category of Data subjects	Category of data	Legal basis	Time limit for blocking and erasure	Transfer to third countries or international organisations
	Name	Address	Organisational part of the institution concerned						
Ethics - declaration of assets	ESMA	103, Rue de Grenelle, 75007, Paris	Ethics	Complying with the Ethics Guidance	ESMA Staff	List of assets	Staff Regulation and Article 70 of the ESMA Regulation	N/A	No
Ethics - clearance for assets trading	ESMA	103, Rue de Grenelle, 75007, Paris	Ethics	Complying with the Ethics Guidance	ESMA Staff	List of assets to be traded	Staff Regulation and Article 70 of the ESMA Regulation	N/A	No
Supervision of CRAs	ESMA	103, Rue de Grenelle, 75007, Paris	CRA Unit	CRA supervision	ESMA Staff, SNEs, Contractual agents and trainees and Employees of supervised entities	Personal data, Education and Training details, employment details, financial details.	Regulation (EU) No 1095/2010 and Regulation (EU) No 1060/2009	N/A	Potential transfers.
Registration / recognition / supervision of TRs and registration / authorisation of CCPs	ESMA	103, Rue de Grenelle, 75007, Paris	Markets Division	Supervision of TRs and CCPs	ESMA Staff, SNEs, Contractual agents and trainees and Employees of supervised entities	Personal data, Education and Training details, employment details, financial details	Regulation (EU) No 1095/2010 and Regulation (EU) No 648/2012	N/A	Potential transfers.
Administrative inquiry	ESMA	103, Rue de Grenelle, 75007, Paris	LCC	Personal data is processed in an administrative inquiry in order to establish the facts and whether further action is required.	ESMA Staff, SNEs, Complainants, correspondents and enquirers, relatives and associates of the data subjects	Personal data, education and training details, employment details	The Staff Regulations and Conditions of Employment of Other Servants of the European Union, the ESMA Regulation and the mandate from the Executive Director to carry out this administrative inquiry.	N/A	No
Supervision of CRAs (Policy area)	ESMA	103, Rue de Grenelle, 75007, Paris	CRA Unit	Storage and use of contact details in the contex of the activity of CRA Unit	ESMA Staff, SNEs, Contractual agents and trainees, employees of supervised entities and relatives and associates of the data subjects	Personal data, education and training details, employment details and financial details	Regulation (EU) No 1095/2010 and Regulation (EU) No 1060/2009	N/A	Potential transfers.
Business continuity contact lists	ESMA	103, Rue de Grenelle, 75007, Paris	EFS	Storage and use of contact details in the context of the activity of EFS	ESMA Staff	Personal details (name, address etc),Education & Training details: CVs of GEA candidates and members, Employment details, Goods or Services provided (data providers, TRV proof-reading)	Regulation (EU) No 1095/2010	N/A	Yes
Collection of mobile phone numbers	ESMA	103, Rue de Grenelle, 75007, Paris	HR	Collection of the mobile phone numbers in order to access the JSIS system outside ESMA premises	TAs and CAs	Personal data (mobile phone numbers, names and surnames)	Regulation (EU) No 1095/2010. In addition data subjects provided the personal data on a voluntary basis (free consent).	N/A	No
Identity and Access Management	ESMA	103, Rue de Grenelle, 75007, Paris	Operations	Personal data are collected in the context of the Identity and Access Management system which manages the user identification and authentication process for ESMA business. systems.	ESMA Staff, SNEs, CA and trainees, contractors, NCAs, supervised entities and	Personal data (mobile phone numbers, names and surnames)	Regulation (EU) No 1095/2010 (also with reference to the legal acts referred to in Article 1(2) of that Regulation)	N/A	No
Staff Committee elections	ESMA	103, Rue de Grenelle, 75007, Paris	Staff	Personal data is collected for the purposes of the elections of the Staff Committee	ESMA Staff	Personal data (names and surnames) and employment details	Staff Regulations of Officials of the European Union and the Conditions of Employment of Other Servants of the European Union laid down by Council Regulation (EEC, Euratom, ECSC) No 259/681, and in particular Articles 9, 10 and 10a of the Staff Regulations, and Article 1 of Annex II, concerning the Staff Committee. ESMA Management Board Decision (ESMA/2011/MB/18/REV1). In addition data subjects provide their personal data on a voluntary basis.	N/A	No
Lists of contacts (IPI)	ESMA	103, Rue de Grenelle, 75007, Paris	I&R	Storage and use of contact details in the context of the activity of the I&R division	Visitors to ESMA (BOS, MB, WG, Seminars, Events) and complainants, correspondents and enquirers.	Personal details (name, address etc); education & training details	Article 8(1) and 9 of Regulation 1095/2010/EC outline important tasks of ESMA in fostering investor protection. Processing of personal data are necessary in the context of these activities. In addition data subjects provide their personal data on a voluntary basis.	N/A	No
JSIS system	ESMA	103, Rue de Grenelle, 75007, Paris	HR	Allowing the possibility to the ESMA staff to access all functionalities of the JSIS on-line application without connection to the ESMA server (e.g. from home, without a token or via internet access)	ESMA permanent Staff	Personal details (name, address and mobile number)	The IAMS system is managed directly by the EC. ESMA is not the controller.	N/A	No