

Guidelines compliance table

Guidelines on certain aspects of the MiFID compliance function requirements (ESMA/2012/388)

The following competent authorities comply or intend to comply with ESMA's guidelines on certain aspects of the MiFID compliance function requirements:

Member State		Competent authority	Complies
BE	Belgium	Financial Services and Markets Authority	Yes
BG	Bulgaria	Financial Supervision Commission	Yes
CZ	Czech Republic	Czech National Bank	Yes
DK	Denmark	Finanstilsynet	Yes
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	Yes
EE	Estonia	Estonian Financial Supervision Authority	Yes
IE	Ireland	Central Bank of Ireland	Yes
EL	Greece	Hellenic Capital Market Commission	Yes
ES	Spain	Comisión Nacional del Mercado de Valores	Yes
FR	France	Autorité des Marchés Financiers	Yes
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Yes
IT	Italy	Commissione Nazionale per le Società e la Borsa	Yes
		Banca d'Italia	
CY	Cyprus	Cyprus Securities and Exchange Commission	Yes

		Central Bank of Cyprus	Yes
		Authority for the Supervision and Development of Cooperative Societies	Yes
LV	Latvia	Financial and Capital Market Commission	Yes
LT	Lithuania	Bank of Lithuania	Yes
LU	Luxembourg	Commission de Surveillance du Secteur Financier	Yes
HU	Hungary	Magyar Nemzeti Bank	Yes
MT	Malta	Malta Financial Services Authority	Yes
NL	Netherlands	Netherlands Authority for the Financial Markets	Yes
AT	Austria	Financial Market Authority	Yes
PL	Poland	Komisja Nadzoru Finansowego	Yes
PT	Portugal	Comissão do Mercado de Valores Mobiliários	Yes
RO	Romania	Romanian Financial Supervisory Authority	Yes
SI	Slovenia	Securities Market Agency	Yes
SK	Slovakia	National Bank of Slovakia	Yes
FI	Finland	Finanssivalvonta	Yes
SE	Sweden	Finansinspektionen	Yes

EEA EFTA States ¹		Competent Authority		Complies
LI	Liechtenstein	Financial Market Authority		Yes
NO	Norway	Finanstilsynet		Yes

GB	United Kingdom*	Financial Conduct Authority	Yes
		Prudential Regulation Authority	Yes

GI ²	Gibraltar*	Gibraltar FSC	Yes
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* 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 authorities of the United Kingdom and the European territories for whose external relations it is responsible under Article 355(3) TFEU (Gibraltar) 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.

Notes

Article 16(3) of the ESMA Regulation requires national competent authorities to inform ESMA whether they comply or intend to comply with each guideline or recommendation we issue that applies to them within two months of the guideline or recommendation being issued. If a competent authority does not comply or does not intend to comply it must inform ESMA of the reasons. We decide on a case by case basis whether to publish reasons.

Although we try to ensure the accuracy of this document, we rely on information provided by the competent authorities and therefore cannot accept responsibility for its contents 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).

¹ The EEA States other than the Member States of the European Union are not currently required to confirm their compliance with ESMA's guidelines. This table is based on information provided from those other EEA States on a voluntary basis.

² Gibraltar is a European territory for whose external relations the UK is responsible.