



## Guidelines compliance table

### Guidelines on cross-selling practices (ESMA/2016/574)

The following competent authorities\* have informed ESMA that they comply, do not comply or intend to comply with the ESMA's guidelines on cross-selling practices:

	Competent authority	Complies or intends to comply**	Comments
<b>Member States</b>			
AT	Austria Financial Market Authority (FMA)	<b>Intends to comply</b>	3 January 2018 <sup>1</sup>
BE	Belgium Financial Services and Markets Authority (FSMA)	<b>Intends to comply</b>	3 January 2018
BG	Bulgaria Financial Supervision Commission (FSC)	<b>Intends to comply</b>	3 January 2018
CY	Cyprus Cyprus Securities and Exchange Commission (CySEC)	<b>Intends to comply</b>	3 January 2018
CZ	Czech Republic Czech National Bank (CNB)	<b>Intends to comply</b>	3 January 2018
DE	Germany Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	<b>Intends to comply</b>	3 January 2018
DK	Denmark Finanstilsynet	<b>Intends to comply</b>	3 January 2018
EE	Estonia Estonian Financial Supervision Authority	<b>Intends to comply</b>	3 January 2018
EL	Greece Hellenic Capital Market Commission (HCMC)	<b>Intends to comply</b>	3 January 2018
ES	Spain Comisión Nacional del Mercado de Valores (CNMV)	<b>Intends to comply</b>	3 January 2018
FI	Finland Finanssivalvonta (FSA)	<b>Intends to comply</b>	3 January 2018
FR	Autorité de Contrôle Prudentiel et de Résolution (ACPR)	<b>Intends to comply</b>	3 January 2018
	Autorité des Marchés Financiers (AMF)	<b>Intends to comply</b>	3 January 2018
HR	Croatia Hrvatska agencija za nadzor financijskih usluga (HANFA)	<b>Intends to comply</b>	3 January 2018
HU	Hungary Magyar Nemzeti Bank (MNB)	<b>Intends to comply</b>	3 January 2018

<sup>1</sup> Application date of Directive 2014/65/EU (MiFID II).

IE	Ireland	Central Bank of Ireland	<b>Intends to comply</b>	3 January 2018
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	<b>Intends to comply</b>	3 January 2018
LT	Lithuania	Bank of Lithuania	<b>Intends to comply</b>	3 January 2018
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	<b>Intends to comply</b>	3 January 2018
LV	Latvia	Financial and Capital Market Commission (FCMC)	<b>Intends to comply</b>	3 January 2018
MT	Malta	Malta Financial Services Authority (MFSA)	<b>Intends to comply</b>	3 January 2018
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	<b>Intends to comply</b>	3 January 2018
PL	Poland	Komisja Nadzoru Finansowego (KNF)	<b>Intends to comply</b>	3 January 2018
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	<b>Intends to comply</b>	3 January 2018
RO	Romania	Romanian Financial Supervisory Authority (RFSA)	<b>Intends to comply</b>	3 January 2018
SE	Sweden	Finansinspektionen	<b>Intends to comply</b>	3 January 2018
SI	Slovenia	Securities Market Agency (SMA)	<b>Intends to comply</b>	“To this date ATVP as competent authority has not come across that supervising firms would distribute or otherwise provide tied, bundled packages or component products. Therefore, Securities Market Agency could not (yet) comply with the Guidelines on cross-selling practices. In the event that the above stated ties, bundled packages or component products will be distributed and provided in the republic of Slovenia, the Securities market Agency will comply and adjust with the Guidelines on cross-selling practices.”
SK	Slovakia	National Bank of Slovakia (NBS)	<b>Intends to comply</b>	3 January 2018
UK	United Kingdom	Financial Conduct Authority (FCA)	<b>Intends to comply</b>	3 January 2018



		Competent authority	Complies or intends to comply	Comments
<b>EEA EFTA States</b>				
NO	Norway	Finanstilsynet	<b>Intends to comply</b>	3 January 2018
LI	Liechtenstein	Financial Market Authority (Liechtenstein)	<b>Intends to comply</b>	3 January 2018
<b>European Territories under Article 355(3) TFEU</b>				
GI	Gibraltar	Financial Services Commission (Gibraltar)	<b>Intends to comply</b>	3 January 2018

\*The EEA States other than the Member States of the European Union are not currently required to notify their compliance with the ESMA Guidelines. 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 the ESMA Regulation requires national competent authorities to inform ESMA whether they comply or intend to comply with each guideline or recommendation ESMA issues 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. ESMA decide on a case by case basis whether to publish these 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 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 the ESMA website ([www.esma.europa.eu](http://www.esma.europa.eu)).