



European Securities and  
Markets Authority

# Guidelines compliance table

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ESMA70-151-1417

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18 October 2018

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## Guidelines on the cooperation between authorities under Articles 17 and 23 of CSDR (ESMA70-151-435)

The following competent authorities\* comply or intend to comply with ESMA Guidelines on cooperation between authorities:

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
<b>Member States</b>				
AT	Austria	Financial Market Authority (FMA)	<b>Yes</b>	
BE	Belgium	Financial Services and Markets Authority (FSMA)	<b>Yes</b>	
BG	Bulgaria	Financial Supervision Commission (FSC)	<b>Yes</b>	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	<b>Yes</b>	
CZ	Czech Republic	Czech National Bank (CNB)	<b>Yes</b>	
DK	Denmark	Finanstilsynet	<b>Yes</b>	
DE	Germany	Bundesanstalt für Finanzdienstlei- stungsaufsicht (BaFin)	<b>Yes</b>	
EE	Estonia	Estonian Financial	<b>Yes</b>	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
		Supervision Authority (FSA)		
EL	Greece	Hellenic Capital Market Commission (HCMC)	<b>Yes</b>	
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	<b>Yes</b>	
FI	Finland	Finanssivalvonta (FSA)	<b>Yes</b>	
FR	France	Banque de France	<b>Yes</b>	
		Autorité des Marchés Financiers (AMF)	<b>Yes</b>	
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	<b>Yes</b>	
HU	Hungary	Magyar Nemzeti Bank (MNB)	<b>Yes</b>	
IE	Ireland	Central Bank of Ireland	<b>Intends to comply**</b>	When a CSD is authorised in Ireland or when receives any of the documents listed in Section 4.2.3 of the Guidelines
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	<b>Yes</b>	
LV	Latvia	Financial and Capital Market Commission (FCMC)	<b>Yes</b>	
LT	Lithuania	Bank of Lithuania	<b>Yes</b>	
LU	Luxembourg	Commission de Surveillance du	<b>Yes</b>	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
		Secteur Financier (CSSF)		
MT	Malta	Malta Financial Services Authority (MFSA)	<b>Yes</b>	
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	<b>Yes</b>	
PL	Poland	Komisja Nadzoru Finansowego (KNF)	<b>Yes</b>	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	<b>Yes</b>	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	<b>Yes</b>	
SE	Sweden	Finansinspektörerna (FI)	<b>Yes</b>	
SI	Slovenia	Securities Market Agency (SMA)	<b>Yes</b>	
SK	Slovakia	National Bank of Slovakia (NBS)	<b>Yes</b>	
UK	United Kingdom	Financial Conduct Authority (FCA)	<b>Yes</b>	
<b>EEA EFTA States</b>				
IS	Iceland	Fjármálaeftirlitið (FME)	<b>Intends to comply</b>	Pending incorporation of CSDR into the EEA agreement
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	<b>Intends to comply</b>	Pending incorporation of CSDR into the EEA agreement
NO	Norway	Finanstilsynet	<b>Intends to comply</b>	Pending incorporation of CSDR into the EEA agreement
<b>European Territories under Article 355(3) TFEU</b>				



		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
GI	Gibraltar	Financial Services Commission (Gibraltar)	<b>Yes</b>	

\*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 Regulation (EU) No 1095/2010 (the ESMA Regulation) requires national competent authorities to inform us whether they comply or intend to comply with each Guideline or recommendation 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](http://www.esma.europa.eu))