

## GUIDELINES COMPLIANCE TABLE

### Guidelines on non-significant benchmarks (ESMA70-145-1209)

The following competent authorities comply or intend to comply with ESMA's Guidelines on non-significant benchmarks:

		Competent authority	Complies or intends to comply	Comments
<b>Member States</b>				
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Intends to comply *	Intends to comply by the date a registered or licensed benchmark administrator exists in BG.
CZ	Czech Republic	Czech National Bank (CNB)	Yes	<a href="https://www.cnb.cz/en/supervision-financial-market/legislation/other-auditing-rating-agencies/methodological-and-interpretative-documents">https://www.cnb.cz/en/supervision-financial-market/legislation/other-auditing-rating-agencies/methodological-and-interpretative-documents</a>
DK	Denmark	Finanstilsynet	Yes	
DE	Germany	BaFin	Yes	<a href="https://www.bafin.de/DE/Aufsicht/BoersenMaerkte/Referenzwerte/referenzwerte_artikel.html">https://www.bafin.de/DE/Aufsicht/BoersenMaerkte/Referenzwerte/referenzwerte_artikel.html</a>
EE	Estonia	Finantsinspektsioon (FSA)	Yes	
IE	Ireland	Central bank of Ireland	Yes	
EL	Greece	Hellenic Capital Market Commission (HCMC)	Yes	<a href="http://www.hcmc.gr/el_GR/web/porta/elib/news">http://www.hcmc.gr/el_GR/web/porta/elib/news</a>
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
FR	France	Autorité des Marchés Financiers (AMF)	Yes	

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	<b>Yes</b>	
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	<b>Yes</b>	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	<b>Yes</b>	<a href="https://www.cysec.gov.cy/CMSPages/GetFile.aspx?guid=5c62486d-6428-4763-a946-45c896600d56">https://www.cysec.gov.cy/CMSPages/GetFile.aspx?guid=5c62486d-6428-4763-a946-45c896600d56</a>
LV	Latvia	Financial and Capital Market Commission (FCMC)	<b>Intends to comply *</b>	Intends to comply by the date administrators as defined in Article 3(1)(6) of the Benchmarks Regulation and supervised contributors as defined in Article 3(1)(10) of the Benchmarks Regulation exist in LV.
LT	Lithuania	Lietuvos bankas (LB)	<b>Yes</b>	
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	<b>Yes</b>	<a href="http://www.cssf.lu/fileadmin/files/Lois_reglements/Circulaires/Hors_blanchiment_terrorisme/cssf19_728eng.pdf">http://www.cssf.lu/fileadmin/files/Lois_reglements/Circulaires/Hors_blanchiment_terrorisme/cssf19_728eng.pdf</a>
HU	Hungary	Magyar Nemzeti Bank (MNB)	<b>Intends to comply *</b>	Intends to comply by the date a registered or licensed benchmark administrator – that issues non-significant benchmarks – exists in HU.
MT	Malta	Malta Financial Services Authority (MFSA)	<b>Yes</b>	<a href="https://www.mfsa.mt/wp-content/uploads/2019/06/20190628_Financial-Market-Rules.pdf">https://www.mfsa.mt/wp-content/uploads/2019/06/20190628_Financial-Market-Rules.pdf</a>
NL	Netherlands	Authority for the Financial Markets (AFM)	<b>Yes</b>	
AT	Austria	Financial Market Authority (FMA)	<b>Yes</b>	<a href="https://www.fma.gv.at/eu/esma-leitlinien/">https://www.fma.gv.at/eu/esma-leitlinien/.</a>
PL	Poland	Komisja Nadzoru Finansowego (KNF)	<b>Yes</b>	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	<b>Yes</b>	<a href="https://www.cmvm.pt/pt/Cooperacao/esma/DocumentosESMACESR/Documents/esma70-145-1209_guidelines_on_non-significant_benchmarks_pt.pdf">https://www.cmvm.pt/pt/Cooperacao/esma/DocumentosESMACESR/Documents/esma70-145-1209_guidelines_on_non-significant_benchmarks_pt.pdf</a>

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
RO	Romania	Romanian Financial Supervisory Authority (ASF)	<b>Yes</b>	
SI	Slovenia	Securities Market Agency (SMA)	<b>Yes</b>	
SK	Slovakia	National Bank of Slovakia (NBS)	<b>Yes</b>	
FI	Finland	Finanssivalvonta (FSA)	<b>Yes</b>	
SE	Sweden	Finansinspektionen (FI)	<b>Yes</b>	
<b>EEA EFTA States **</b>				
IS	Iceland	Central Bank of Iceland	<b>Intends to comply</b>	Intends to comply by 1 June 2020.
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	<b>Yes</b>	
NO	Norway	Finanstilsynet	<b>Yes</b>	
GB	United Kingdom***	Financial Conduct Authority (FCA)	<b>Yes</b>	

\* 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.

\*\* 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 relating to a legal act that has been incorporated in the EEA Agreement. This compliance table reports on Guidelines relating to Regulation (EU) 2016/1011, which has not yet been incorporated in the EEA Agreement. This table is therefore based on information provided from those competent authorities of the EEA States on a voluntary basis.

\*\*\*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 authority of the United Kingdom 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 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)).*