



Guidelines compliance table

ESMA70-156-350

26 March 2018

Guidelines on the management body of market operators and DRSPs under MiFID II

The following competent authorities* comply or intend to comply with ESMA Guidelines on the management body of market operators and DRSPs under MiFID II:

		Competent authority	Complies or intends to comply	Comments
BE	Belgium	Financial Services and Markets Authority (FSMA)	Yes	
BG	Bulgaria	Financial Supervision Commission (FSC)	Intends to Comply	Intends to comply by the end of 2018
CZ	Czech Republic	Czech National Bank (CNB)	Yes	
DK	Denmark	Finanstilsynet	Yes	
DE	Germany	Financial Administration of the City of Hamburg	Yes	
		Ministry of Economics, Energy, Transport and Regional Development, State of Hessen	Yes	
		Ministry of Economic Affairs, Employment, Transport and Digitalisation of Lower Saxony	Yes	
		Ministry of Finance of the State of North Rhine-Westphalia	Yes	
		Exchange Supervisory Authority of the Saxon State	Yes	

		Competent authority	Complies or intends to comply	Comments
		(Ministry for Economic Affairs, Labor and Transport)		
		Ministry of Economic Affairs, Labour and Housing Baden-Wuerttemberg	Yes	
		Bavarian Ministry of Economic Affairs, Energy and Technology	Yes	
		Exchange Supervisory Authority Berlin (Senate Department for Economics, Energy and Public Enterprises)	Yes	
		BaFin	Yes	
EE	Estonia	Estonian Financial Supervision Authority (FSA)	Yes	
IE	Ireland	Central Bank of Ireland	Yes	
EL	Greece	Hellenic Capital Market Commission (HCMC)	Yes	
ES	Spain	Comisión Nacional del Mercado de Valores (CNMV)	Yes	
FR	France	Autorité des Marchés Financiers (AMF)	Yes	
HR	Croatia	Hrvatska agencija za nadzor financijskih usluga (HANFA)	Intends to Comply	Intends to comply by Q3 2018
IT	Italy	Commissione Nazionale per le Società e la Borsa (CONSOB)	Intends to Comply	
CY	Cyprus	Cyprus Securities and Exchange Commission (CySEC)	Yes	
LV	Latvia	Financial and Capital Market Commission (FCMC)	Intends to Comply	Complies only partially for the moment and intends to comply fully by the end of 2018

		Competent authority	Complies or intends to comply	Comments
LT	Lithuania	Bank of Lithuania	Intends to Comply	Intends to comply by Q2 2018
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	Yes	
HU	Hungary	Magyar Nemzeti Bank (MNB)	Yes	
MT	Malta	Malta Financial Services Authority (MFSA)	Yes	
NL	Netherlands	Netherlands Authority for the Financial Markets (AFM)	Yes	
AT	Austria	Financial Market Authority (FMA)	Yes	
PL	Poland	Komisja Nadzoru Finansowego (KNF)	Yes	
PT	Portugal	Comissão do Mercado de Valores Mobiliários (CMVM)	Yes	
RO	Romania	Romanian Financial Supervisory Authority (ASF)	Intends to Comply	Intends to comply by the end of 2018.
SI	Slovenia	Securities Market Agency (SMA)	Intends to Comply	Intends to comply by 30 June 2018
SK	Slovakia	National Bank of Slovakia (NBS)	Yes	
FI	Finland	Finanssivalvonta (FSA)	Yes	
SE	Sweden	Finansinspektionen (FI)	Yes	
UK	United Kingdom	Financial Conduct Authority (FCA)	Yes	
IS	Iceland	Fjármálaeftirlitið (FME)	Intends to Comply	Intends to comply by Q4 2019
LI	Liechtenstein	Finanzmarktaufsicht (FMA)	Yes	
NO	Norway	Finanstilsynet	Yes	



		Competent authority	Complies or intends to comply	Comments
GI	Gibraltar ¹	Financial Services Commission (Gibraltar)	Yes	

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