

| Technical standards submitted to the European Commission | | | | | | | | | | | | |
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| | | | ESMA phase | | | Commission phase | | | | EP/Council | Publication | Entry into force |
| Title | Legal basis | Deadline for submission | Discussion paper | Consultation paper | Submission to Commission - Final Report | Deadline for adoption by the Commission | Rejection letter from the Commission | ESMA opinion proposing revised TS | Adoption by the Commission | Objection period of the Parliament and the Council | | |
| <u>AIFMD</u> | | | | | | | | | | | | |
| Draft RTS on types of AIFMs | Art 4(4)) | n/a | 23/02/2012 – 23/03/2012 2012/117 Responses | 19/12/2012 - 01/02/2013 2012/844 Responses | 02/04/2013 2013/413 | 02/07/2013 | 08/07/2013 | 13/08/2013 2013/1119 | 17/12/2013 | 17/03/2014 | 24/06/2014 OJ 694/2014 | 14/07/2014 |
| <u>Credit Rating Agencies Regulation (CRAR)</u> | | | | | | | | | | | | |
| Draft RTS of 20 June 2014 | | 21/06/2014 | 10/07/2013 – 10/10/2013 2013/891 Responses | 11/02/2014 – 11/04/2014 2014/150 Responses | 20/06/2014 2014/685 | 22/09/2014 | | | 30/09/2014 | 30/10/2014 | | |
| • Draft RTS on the information on structured finance instruments | Art 8b(3) | 21/06/2014 | | | 20/06/2014 | 22/09/2014 | | | 30/09/2014 | 30/10/2014 | 06/01/2015 OJ 2015/3 | 26/01/2015 |
| • Draft RTS on the European Rating Platform | Art 21(4a)(a) | 21/06/2014 | | | 20/06/2014 | 22/09/2014 | | | 30/09/2014 | 30/10/2014 | 06/01/2015 OJ 2015/2 | 26/01/2015 |
| • Draft RTS on the fees charged by CRAs to their clients | Art 21(4a)(b) | 21/06/2014 | | | 20/06/2014 | 22/09/2014 | | | 30/09/2014 | 30/10/2014 | 06/01/2015 OJ 2015/2 | 26/01/2015 |
| Draft RTS on the content and format of ratings data periodic reporting to be requested from credit ratings agencies for the purpose of on-going supervision by ESMA | Art 21(4)(e) | 02/01/2012 | | 19/09/2011 – 21/10/2011 2011/305 Responses | 22/12/2011 2011/464 | 22/03/2012 | | | 21/03/2012 | 23/04/2013 | 30/05/2012 OJ 446/2012 | 30/11/2012 |
| Draft RTS on the assessment of compliance of credit rating methodologies with CRA Regulation | Art 21(4)(d) | 02/01/2012 | | 19/09/2011 – 21/10/2011 2011/303 Responses | 22/12/2011 2011/462 | 22/03/2012 | | | 21/03/2012 | 23/04/2013 | 30/05/2012 OJ 447/2012 | 19/06/2012 |
| Draft RTS on the presentation of the information that credit rating agencies shall disclose in accordance with Article 11(2) and point 1 of Part II of Section E of Annex I to Regulation (EC) No 1060/2009 | Art 21(4)(c) | 02/01/2012 | | 19/09/2011 – 21/10/2011 2011/304 Responses | 22/12/2011 2011/461 | 22/03/2012 | | | 21/03/2012 | 23/04/2013 | 30/05/2012 OJ 448/2012 | 19/06/2012 |
| Draft RTS on the information for registration and | Art 21(4)(a) & (b) | 02/01/2012 | | 19/09/2011 – | 22/12/2011 | 22/03/2012 | | | 21/03/2012 | 23/04/2013 | 30/05/2012 | 19/06/2012 |

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| certification of credit rating agencies | | | | 21/10/2011 2011/302 Responses | 2011/463 | | | | | | OJ 449/2012 | |
| <u>Capital Requirements Regulation (CRR)</u> | | | | | | | | | | | | |
| Draft ITS on main indices and recognised exchanges under the CRR | Art 197(8) | 31/12/2014 | | 29/09/2014-01/11/2014 2014/1188 Responses | 19/12/2014 2014/1571 | 19/02/2015 | | 28/01/2016 2016/163 | | | | |
| Draft ITS on credit assessments by External Credit Assessment Institutions (ECAIs) according to the CRR and according to the Solvency II Directive | Art 136 (1) and (3) | 01/07/2014 | | 05/02/2014-05/05/2014 JC/CP/2014/01 Responses | 11/11/2015 JC/2015/067 | 11/02/2016 | | 11/05/2016 ESA/2016/41 | | | | |
| <u>Central Securities Depositories Regulation (CSDR)</u> | | | 20/03/2014–22/05/2014 2014/299 Responses | | | | | | | | | |
| Draft RTS on settlement discipline | Art 6(5) and 7(15) | 18/06/2015 | | 30/06/2015-06/08/2015 2015/1065 (on buy-in) Responses | 01/02/2016 2016/174 Impact Assessment | 02/05/2016 | | | | | | |
| Draft RTS and ITS of 28 September 2015 on CSD requirements and on internalised settlement | | | | 18/12/2014-19/02/2015 2014/1563 Responses | 28/09/2015 2015/1457 Draft RTS and ITS Impact Assessment | | | | | | | |
| • Draft RTS on CSD requirements | Art 12(3), 17(9), 18(4), 22(10), 25(12), 26(12), 29(3), 33(5), 37(4), 45(7), 46(6), 48(10), 49(5), 52(3), 53(4) and 55(7) | 18/06/2015 | | | 28/09/2015 | 28/12/2015 | | | | | | |

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| • Draft RTS on internalised settlement | 2nd subpara Art 9(2) | 18/06/2015 | | | 28/09/2015 | 28/12/2015 | | | | | | |
| • Draft ITS on CSD requirements | Art 17(10), 22(11), 24(8), 29(4), 33(6), 49(6), 52(4), 53(5) and 55(8) | 18/06/2015 | | | 28/09/2015 | 28/12/2015 | | | | | | |
| • Draft ITS on internalised settlement | 3 rd subpara Art 9(3) | 18/06/2015 | | | 28/09/2015 | 28/12/2015 | | | | | | |
| European Markets Infrastructure Regulation (EMIR) | | | | | | | | | | | | |
| Review of draft RTS on indirect clearing arrangements | Art 4(4) | n/a | | 05/11/2015-17/12/2015 2015/1628 Responses | 26/05/2016 2016/725 | 26/08/2016 | | | | | | |
| Review of Article 26 of RTS No 153/2013 with respect to MPOR for client accounts | Art 41(5) | n/a | 26/08/2015-30/09/2015 2015/1295 Responses | 14/12/2015-01/02/2016 2015/1867 Responses | 04/04/2016 2016/429 | 04/07/2016 | | | 21/04/2016 | 23/05/2016 | 26/05/2016 OJ (2016) 822 | 15/06/2016 |
| Review of Draft RTS on access to data and aggregation and comparison of data across TRs | Art 81(5) | n/a | | 11/12/2015-01/02/2015 2015/ 1866 Responses | 05/04/2016 2016/ 422 | 05/07/2016 | | | | | | |
| Draft RTS on margin requirements for non-centrally cleared derivatives | Art 11(15) | 30/09/2012 | 06/03/2012–02/04/2012 JC/DP/2012/1 Responses | 14/04/2014-14/07/2014 JC/CP/2014/03 (no 1) Responses + 10/06/2014-10/07/2014 JC/CP/2015/002 (no 2) Responses | 08/03/2016 ESA/2016/23 Feedback table | 08/06/2016 | 28/07/2016 FISMA MF/ML/cd(2016) 3644700 | | | | | |

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| Draft RTS under the <u>clearing obligation</u> | Art 5(2) | | 12/07/2013-12/09/2013 2013/925 Responses | | | | | | | | | |
| • Interest rate OTC derivatives in G4 currencies | | Own initiative | | 17/07/2014-18/08/2014 2014/799 Responses | 01/10/2014 2014/1184 | 02/01/2015 | | 06/03/2015 2015/511 | 06/08/2015 | 06/11/2015 | 01/12/2015 OJ 2015/2205 | 21/12/2015 |
| • Credit default swaps | | Own initiative | | 11/07/2014-18/09/2014 2014/800 Responses | 01/10/2015 2015/1481 | 02/01/2016 | | | 01/03/2016 | 01/04/2016 | 19/04/2016 OJ 2016/592 | 09/05/2015 |
| • Forex non-deliverable forwards | | | | 01/10/2014-06/11/2014 2014/1185 Responses | | | | | | | | |
| • Interest rate OTC derivatives in additional currencies | | Own initiative | | 11/05/2015-15/07/2015 2015/807 Responses | 10/11/2015 2015/1629 | 10/02/2016 | | | 10/06/2016 C(2016) 3446 | 10/07/2016 | | |
| Review of the TS on reporting under Article 9 EMIR | | n/a | | 10/11/2014-13/02/2015 2014/1352 Responses | 13/11/2015 2015/1645 | | | | | | | |
| Draft RTS on direct, substantial and foreseeable effect of contracts within the Union and to prevent the evasion of rules and obligations | Art 4(4)) and Art 11(14)(e) | 30/09/2012 | | 17/07/2013 – 16/09/2013 2013/892 Responses | 15/11/2013 2013/1657 | 17/02/2014 | | | 13/02/2014 | 13/03/2014 | 21/03/2014 OJ 285/2014 | 10/04/2014 |
| Draft TS of 27 September 2012 | | 30/09/2012 | 16/02/2012 – 19/03/2012 2012/95 | 25/06/2012 – 05/08/2012 2012/379 | 27/09/2012 2012/600 Impact | 27/12/2012 | | | | | | |

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| | | | Responses | Responses | Assessment | | | | | | | |
| CCPs | | | | | | | | | | | | |
| <ul style="list-style-type: none">Draft RTS specifying (a) the conditions under which Union currencies are to be considered as the most relevant for central banks of issue participation in CCP colleges; and (b) the details of practical arrangements for the functioning of the colleges | Art 18(6) | 30/09/2012 | | | | 27/12/2012 | 31/01/2013 | 15/03/2013 2013/312 | 28/05/2013 | 28/08/2013 | 13/09/2013 OJ 876/2013 | 03/10/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the information that the applicant third country CCP shall provide ESMA in its application for recognition | Art 25(8) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the minimum content of the rules and governance arrangements referred to in Art 26(1) to (8) | Art 26(9) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the details of the records and information to be retained by CCPs | Art 29(4) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft ITS to determine the format of the records and information to be retained by central counterparties | Art 29(5) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | n/a | 21/12/2012 OJ 1249/2012 | 10/01/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the minimum content and requirements of the business continuity policy and of the disaster recovery plan | Art 34(3) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the appropriate percentage and time horizons for the liquidation period and the calculation of historical volatility to be considered for the different classes of financial instruments taking into account the objective to limit procyclicality and the conditions under which portfolio margining practices can be implemented | Art 41(5) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| - Review of Article 26 of RTS No 153/2013 | | | 26/08/2015-30/09/2015 | 14/12/2015-01/02/2016 | 04/04/2016 2016/429 | 04/07/2016 | | | 21/04/2016 | 23/05/2016 | 26/05/2016 OJ (2016) 822 | |

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| with respect to MPOR for client accounts | | | 2015/1295 Responses | 2015/1867 Responses | | | | | | | | |
| <ul style="list-style-type: none">Draft RTS specifying the framework for defining extreme but plausible market conditions that should be used when defining the size of the default fund and of the other financial resources | Art 42(5) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the framework for managing the CCPs’ liquidity risk that a CCP shall withstand | Art 44(2) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the methodology for calculation and maintenance of the amount of the CCP’s own resources to be used in the default waterfall | Art 45(5) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the type of collateral that could be considered highly liquid, such as gold, government and high-quality corporate bonds, covered bonds | Art 46(3)(a) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the haircuts referred to in Art 46(1) | Art 46(3)(b) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the conditions under which commercial bank guarantees may be accepted as collateral | Art 46(3)(c) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the financial instruments that can be considered highly liquid, bearing minimal credit and market risk, the highly secured arrangements for the deposit of cash and financial instruments and the concentration limits | Art 47(8) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| <ul style="list-style-type: none">Draft RTS specifying the types of tests to be undertaken for different classes of financial instruments and portfolios | Art 49(4)(a) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |

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| • Draft RTS specifying the involvement of clearing members or other parties in the tests | Art 49(4)(b) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| • Draft RTS specifying the frequency of the tests | Art 49(4)(c) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| • Draft RTS specifying the time horizons of the tests | Art 49(4)(d) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| • Draft RTS specifying the key information to be publicly disclosed on the risk management model and assumptions adopted to perform the stress tests | Art 49(4)(e)) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 153/2013 | 15/03/2013 |
| OTC derivatives and clearing obligation | | | | | | | | | | | | |
| • Draft RTS specifying the types of indirect contractual clearing arrangements | Art 4(4) | 30/09/2012 | | 05/11/2015-17/12/2015 2015/1628 Responses | 26/05/2016 2016/725 | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| - Review | | | | | | 26/08/2016 | | | | | | |
| • Draft RTS specifying the details to be included in the notification from the competent authorities to ESMA | Art 5(1) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the criteria to be assessed to determine if a class of derivatives should be subject to CCP clearing | Art 5(4) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the details to be included in the public register on the classes of derivatives subject to the clearing obligation | Art 6(4) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the concept of liquidity fragmentation | Art 8(5) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying criteria for establishing which OTC derivative contracts are objectively | Art 10(4)(a) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |

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| reducing risks | | | | | | | | | | | | |
| • Draft RTS specifying values of the clearing thresholds | Art 10(4)(b) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the procedures and arrangements referred to in Art 11(1) (timely confirmation, portfolio reconciliation, portfolio compression and dispute resolution) | Art 11(14)(a) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the market conditions that prevent market-to-market and the criteria for using market-to model | Art 11(14)(b) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the details of the intragroup transaction notification to the competent authority | Art 11(14)(c) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | | |
| • Draft RTS specifying the details of the intragroup transaction notification to ESMA and of the information to be publicly disclosed on exempted intragroup transactions | Art 11(14)(d) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 149/2013 | 15/03/2013 |
| Trade reporting | | | | | | | | | | | | |
| • Draft RTS on the minimum details of the data to be reported to trade repositories - Review | Art 9(5) | 30/09/2012 | | 10/11/2014- 13/02/2015 2014/1352 Responses | 13/11/2015 2015/1645 | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 148/2013 | 15/03/2013 |
| • Draft ITS determining the format and frequency of trade reports to trade repositories - Review | Art 9(6) | 30/09/2012 | | 10/11/2014- 13/02/2015 2014/1352 Responses | 13/11/2015 2015/1645 | 27/12/2012 | | | 19/12/2012 | n/a | 21/12/2012 OJ 1247/2012 | 08/01/2013 |

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| <ul style="list-style-type: none"> Draft RTS specifying the data to be published and made available by trade repositories and operational standards for aggregating, comparing and accessing the data - Review of draft RTS on access to data and aggregation and comparison of data across TRs | Art 81(5) | 30/09/2012 | | 11/12/2015-01/02/2015 2015/ 1866 Responses | 05/04/2016 2016/ 422 | 27/12/2012 05/07/2016 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 151/2013 | 15/03/2013 |
| Trade repositories | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Draft RTS specifying the details of the application for registration as a trade repository | Art 56(3) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | 19/02/2013 | 23/02/2013 OJ 150/2013 | 15/03/2013 |
| <ul style="list-style-type: none"> Draft ITS determining the format of applications for registration of trade repositories to ESMA | Art 56(4) | 30/09/2012 | | | | 27/12/2012 | | | 19/12/2012 | n/a | 21/12/2012 OJ 1248/2012 | 08/01/2013 |
| <u>European Social Entrepreneurship Funds Regulation (EuSEFR)</u> | | | | 26/09/2014 – 10/12/2014 2014/1182 Responses | | | | | | | | |
| Draft ITS with regard to the format of the notification | Art 17(5) | 16/02/2014 | | | 11/02/2014 2014/161 | 12/05/2014 | | | 03/06/2014 | n/a | 04/06/2014 OJ 594/2014 | 09/06/2014 |
| <u>European Venture Capital Funds Regulation (EuVeCaR)</u> | | | | 26/09/2014 – 10/12/2014 2014/1182 Responses | | | | | | | | |
| Draft ITS with regard to the format of the notification | Art16(5) | 16/02/2014 | | | 11/02/2014 2014/160 | 12/05/2014 | | | 03/06/2014 | n/a | 04/06/2014 OJ 593/2014 | 09/06/2014 |
| <u>Financial Conglomerates Directive (FICOD)</u> | | | | | | | | | | | | |
| Draft RTS on risk concentration and intra-group transactions | Art 21a(1a) | 01/01/2015 | | 24/07/2014 – 24/10/2014 JC/CP/2014/04 | 18/12/2014 JC/2014/092 | 18/03/2015 | | | 28/07/2015 | 28/08/2015 | 11/12/2015 OJ 2015/2303 | 31/12/2015 |

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| <u>Market Abuse Regulation (MAR)</u> | | | 14/11/2013-27/01/2014 2013/1649 Responses | 15/07/2014-15/10/2014 2014/809 Responses | 28/09/2015 2015/1455 | 28/12/2015 | | | | | | |
| • Draft ITS on sanctions and measures | 33(5) | 03/07/2016 | | n/a | 26/07/2016 2016/1171 | 26/10/2016 | | | | | | |
| • Draft RTS for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications | Art 4(4) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 01/03/2016 C(2016) 1224 | 01/04/2016 | 10/06/2016 OJ 2016/909 | 30/06/2016 |
| • Draft ITS with regard to the timing, format and template of the submission of notification to competent authorities | Art 4(5) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 11/03/2016 | n/a | 17/03/2016 OJ 2016/378 | 21/03/2016 |
| • Draft RTS for the conditions that buy-back programmes and stabilisation measures must meet | Art 5(6) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 08/03/2016 C(2016) 1357 | 08/04/2016 | 30/06/2016 OJ 2016/1052 | 01/07/2016 |
| • Draft RTS on the appropriate arrangements, systems and procedures for disclosing market participants conducting market soundings | Art 11(9) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 17/05/2016 C(2016) 2859 | 17/06/2016 | 17/06/2016 OJ 2016/960 | 20/06/2016 |
| • Draft ITS on systems and notification templates to be used by disclosing market participants conducting market soundings | Art 11(10) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 17/05/2016 C(2016) 2854 | n/a | 17/06/2016 OJ 2016/959 | 20/06/2016 |
| • Draft RTS on accepted market practices | Art 13(7) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 26/02/2016 C(2016) 1087 | 28/03/2016 | 10/06/2016 OJ 2016/908 | 11/06/2016 |
| • Draft RTS on the appropriate arrangements, systems and procedures as well as notification templates to be used for preventing, detecting and reporting abusive practices or suspicious orders or transactions | Art 16(5) | 03/07/2016 | | | 28/09/2015 | 28/12/2015 | | | 09/03/2016 C(2016) 1402 | 11/04/2016 | 17/06/2016 OJ 2016/957 | 20/06/2016 |

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| | | | ESMA phase | | | Commission phase | | | | EP/Council | Publication | Entry into force |
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| <ul style="list-style-type: none">Draft ITS on the technical means for appropriate public disclosure of inside information and for delaying the public disclosure of inside information | Art 17(10) | 03/07/2016 | | | 28/09/2015 | 28/12/2015 | 25/05/2016 FISMA C3/TL/alf(2016)3009898 | 17/06/2016 2016/982 | 29/06/2016 | n/a | 30/06/2016 OJ 2016/1055 | 01/07/2016 |
| <ul style="list-style-type: none">Draft ITS on the format of the insider lists and format for updating the insider lists | Art 18(9) | 03/07/2016 | | | 28/09/2015 | 28/12/2015 | | | 10/03/2016 | n/a | 11/03/2016 OJ 2016/347 | 14/03/2016 |
| <ul style="list-style-type: none">Draft ITS on the format and template for notification and public disclosure of managers’ transactions | Art 19(15) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 10/03/2016 | n/a | 05/04/2016 OJ 2016/523 | 06/04/2016 |
| <ul style="list-style-type: none">Draft RTS on investment recommendations | Art 20(3) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 09/03/2016 | 11/04/2016 | 17/06/2016 OJ 2016/958 | 20/06/2016 |
| <u>Markets in Financial Instruments Directive (2004/39 - MiFID I)</u> | | | | | | | | | | | | |
| Draft TS under Article 10a(8) of MiFID I on the assessment of acquisitions and increases in qualifying holdings in investment firms | 01/01/2014 | | | 08/07/2013-09/09/2013 2013/918 Responses | 17/12/2013 2013/ 1940 | 23/06/2015 | | | | | | |
| | | | | | 23/03/2015 2015/ 613 (amendment) | | | | | | | |
| <ul style="list-style-type: none">Draft RTS on information requirements for assessment of acquisitions and increases in holdings in investment firms | 01/01/2014 | | | | | 23/06/2015 | | | | | | |
| <ul style="list-style-type: none">Draft ITS with regard to standard forms, templates and procedures for the consultation process between the relevant competent authorities according to Directive 2004/39/EC of the European Parliament and of the Council | 01/01/2014 | | | | | 23/06/2015 | | | | | | |

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| <u>Markets in Financial Instruments Directive (2014/65 - MiFID II) and Markets in Financial Instruments Regulation (600/2014 – MiFIR)</u> | | | 22/05/2014 - 01/08/2014 2014/548 Responses | 19/12/2014 - 02/03/2015 2014/1570 Responses Annex A (Impact Assessment) Annex B (draft TS) | | | | | | | | |
| Draft RTS on indirect clearing arrangements under MiFIR | MiFIR Art 30 | 03/07/2015 | | 05/11/2015 - 17/12/2015 2015/1628 Responses | 26/05/2016 2016/725 | 26/08/2016 | | | | | | |
| Draft ITS under MiFID II | | | | 31/08/2015 - 31/10/2015 2015/1301 Responses | 11/12/2015 2015/1858 | 11/02/2016 | | | | | | |
| • Standard forms, templates and procedures for cooperation arrangements in respect of a trading venue whose operations are of substantial importance in a host Member State | Art 79(9) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| • Format and timing of the communications and the publication regarding the suspension and removal of financial instruments from trading on a Regulated Market, an MTF or an OTF | Art 52(2) | 03/07/2015 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| • Standard forms, templates and procedures for the authorisation of data reporting services providers and related notifications | Art 61(5) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| • Position reporting | Article 58(5) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| • Format and timing of weekly position reports | Art 58(7) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |

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| <ul style="list-style-type: none">Standard forms, templates and procedures for competent authorities to cooperate in supervisory activities, on-site verifications, and investigations and for the exchange of information | Art 80(4) and 81(4) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| <ul style="list-style-type: none">Standard forms, templates and procedures for the consultation of other competent authorities prior to granting an authorisation | Art 84(4) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| <ul style="list-style-type: none">Procedures and forms for submitting information on sanctions and measures | Art 71(7) | 03/01/2016 | | | 11/12/2015 | 11/02/2016 | | | | | | |
| Draft RTS and ITS under MiFID II/MiFIR of 28 September 2015 | | | | | 28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment) | | | | | | | |
| Transparency | | | | | | | | | | | | |
| <ul style="list-style-type: none">Draft RTS on transparency requirements in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments (RTS 1) | MiFIR Art 4(6), 7(2), 14(7), 20(3), 22(4) and 23(3) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 14/07/2016 C(2016) 4390 | 16/08/2016 | | |
| <ul style="list-style-type: none">Draft RTS on transparency requirements in respect of bonds, structured finance products, emission allowances and derivatives (RTS 2) | MiFIR Articles 1(8), 9(5), 11(4), 21(5) and 22(4) | 03/07/2015 | | 18/02/2015 - 20/03/2015 2015/319 Responses | 28/09/2015 | 28/12/2015 | 14/03/2016 FISMA C3/TL/alf(2016)23 68644 | 02/05/2016 2015/666 Annex (Amended draft RTS) | 14/07/2016 C(2016) 4301 | 14/10/2016 | | |
| <ul style="list-style-type: none">Draft RTS on the volume cap mechanism and the provision of information for the purposes of transparency and other calculations (RTS 3) | MiFIR Art 5(9) and 22(4) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 13/06/2016 C(2016) 2711 | 13/07/2016 | | |
| <ul style="list-style-type: none">Draft RTS on criteria for determining whether derivatives should be subject to the trading | MiFIR Art 32(6) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 26/05/2016 C(2016) 2710 | 27/08/2016 | | |

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| obligation (RTS 4) | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Draft RTS on criteria for determining whether derivatives have a direct, substantial and foreseeable effect within the EU (RTS 5) | MiFIR Art 28(5) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 13/06/2016 C(2016) 3544 | 13/07/2013 | | |
| Market microstructure | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Draft RTS specifying the organisational requirements of investment firms engaged in algorithmic trading, providing direct electronic access and acting as general clearing members (RTS 6) | MiFID Art 17(7)(a) and (d) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 19/07/2016 C(2016) 4478 Annex | 19/08/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on organisational requirements of regulated markets, multilateral trading facilities and organised trading facilities enabling or allowing algorithmic trading through their systems (RTS 7) | MiFID Art 48(12)(a),(c) and (g) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 14/07/2016 C(2016) 4387 Annex | 16/08/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on market making agreements and market making schemes (RTS 8) | MiFID Art 17(7)(a), (b) and (c) and Art 48(12)(a) and (f) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 13/06/2016 C(2016) 3523 | 13/07/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on the ratio of unexecuted orders to transactions (RTS 9) | MiFID Art 48(12)(b) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 18/05/2016 C(2016) 2775 Annex | 18/08/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on requirements to ensure co-location and fee structures are fair and non-discriminatory (RTS 10) | MiFID Art 48(12)(d) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 06/06/2016 C(2016) 3266 | 06/07/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on the tick size regime for shares, depositary receipts and exchange traded funds (RTS 11) | MiFID Art 49(3) and (4) | 03/07/2015 and 03/01/2016 respectively | | | 28/09/2015 | 28/12/2015 | | | 14/07/2016 C(2016) 4387 Annex | 16/08/2016 | | |
| <ul style="list-style-type: none"> Draft RTS on the determination of a material market in terms of liquidity relating to trading halt notifications (RTS 12) | MiFID Article 48(12)(e) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 26/05/2016 C(2016) 3020 | 27/06/2016 | | |
| Data publication and access | | | | | | | | | | | | |

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| • Draft RTS on authorisation, organisational requirements and the publication of transactions for data reporting services providers (RTS 13) | MiFID Art 61(4), 64(6),(8), 65(6), (8), and 66(5) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 02/06/2016 C(2016) 3201 | 04/07/2016 | | |
| • Draft RTS on data disaggregation (RTS 14) | MiFIR Art 12(2) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 02/06/2016 C(2016) 3206 | 04/07/2016 | | |
| • Draft RTS on access in respect of central counterparties and trading venues (RTS 15) | MiFIR Art 35(6) and 36(6) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 24/06/2016 C(2016) 3807 Annex | 24/07/2016 | | |
| • Draft RTS on access in respect of benchmarks (RTS 16) | MiFIR Art 37(4) (a), (b), and (c) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 02/06/2016 C(2016) 3203 | 04/07/2016 | | |
| Requirements applying on and to trading venues | | | | | | | | | | | | |
| • Draft RTS on the admission of financial instruments to trading on regulated markets (RTS 17) | MiFIR 3rd subpara Art 51(6) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 24/05/2016 C(2016) 3017 | 24/08/2016 | | |
| • Draft RTS on suspension and removal of financial instruments from trading (RTS 18) | MiFID 10th subpara Art 32(2) and 10th subpara Art 52(2) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 24/05/2016 C(2016) 3014 | 24/08/2016 | | |
| • Draft ITS on the description of the functioning of MTFs and OTFs (ITS 19) | MiFID 3rd subpara Art 18(11) | 03/01/2016 | | | 28/09/2015 | 28/12/2015 | | | 24/05/2016 C(2016) 3019 | n/a | 26/05/2016 OJ 2016/824 | 15/06/2016 |
| Commodity derivatives | | | | | | | | | | | | |
| • Draft RTS on criteria for establishing when an activity is to be considered to be ancillary to the main business (RTS 20) | MiFID Art 2(4) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | 14/03/2016 FISMA C3/TL/alf(2016)23 68644 | 30/05/2016 2016/730 Annex (Amended draft RTS) | | | | |
| • Draft RTS on methodology for the calculation and the application of position limits for commodity derivatives traded on trading venues and economically equivalent OTC contracts (RTS 21) | MiFID Art 57(3) and (12) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | 14/03/2016 FISMA C3/TL/alf(2016)23 68644 | 02/05/2016 2016/668 Annex (Amended draft | | | | |

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| | | | | | | | | RTS | | | | |
| Market data reporting | | | | | | | | | | | | |
| • Draft RTS on reporting obligations under Article 26 of MiFIR (RTS 22) | MiFIR 3rd subpara Art 26(9) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 28/07/2016 C(2016) 4733 Annex | 29/08/2016 | | |
| • Draft RTS on supply of financial instruments reference data under Article 27 of MiFIR (RTS 23) | MiFIR 3rd subpara Art27(3) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 14/07/2016 C(2016) 4405 Annex | 16/08/2016 | | |
| • Draft RTS on the maintenance of relevant data relating to orders in financial instruments (RTS 24) [Art 25(3) MiFIR] | MiFIR 4th subpara Art 25(3) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 24/06/2016 C(2016) 3821 Annex | 24/07/2016 | | |
| • Draft RTS on clock synchronization (RTS 25) | MiFID 3rd subpara Art 50(2) | | | | 28/09/2015 | 28/12/2015 | | | 07/06/2016 C(2016) 3316 Annex | 07/07/2016 | | |
| Post-trading | | | | | | | | | | | | |
| • Draft RTS on the obligation to clear derivatives traded on regulated markets and timing of acceptance for clearing (STP) (RTS 26) | MiFIR Art 29(3) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 29/06/2016 C(2016) 3944 | 29/07/2016 | | |
| Investor protection | | | | | | | | | | | | |
| • Draft RTS under Article 27(10)(a) of MiFID II (RTS 27) | MiFID point (a) 1st subpara Art 27(10) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 08/06/2016 C(2016) 3333 Annex | 08/07/2016 | | |
| • Draft RTS under Article 27(10)(b) of MiFID II (RTS 28) | MiFID point (b) 1st subpara of Art 27(10) | 03/07/2015 | | | 28/09/2015 | 28/12/2015 | | | 08/06/2016 C(2016) 3337 Annex | 08/07/2016 | | |
| Draft TS on authorisation, passporting, registration of third country firms and cooperation between competent authorities | | | | | 29/06/2015 2015/1006 | 29/09/2015 | | | | | | |

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| • Draft RTS under Article 7(4) of MiFID II | MiFID Art 7(4) | 03/07/2015 | | | 29/06/2015 | 29/09/2015 | | | 14/07/2016 C(2016) 4417 | 16/08/2016 | | |
| • Draft ITS under Article 7(5) of Directive MiFID II | MiFID 3rd subpara of Art 7(5) | 03/01/2016 | | | 29/06/2015 | 29/09/2015 | | | | | | |
| • Draft RTS under Articles 34(8) and 35(11) of MiFID II | MiFID 3rd subpara Art 34(8) and 3rd subpara of Art 35(11) | 03/07/2015 | | | 29/06/2015 | 29/09/2015 | | | 29/06/2016 C(2016) 3917 | 29/07/2016 | | |
| • Draft ITS under Articles 34(9) and 35(12) of MiFID II | MiFID Art 34(9) and 35(12) | 31/12/2016 and 03/01/2016 respectively | | | 29/06/2015 | 29/09/2015 | | | | | | |
| • Draft RTS under Article 46(7) of MiFIR | MiFIR Art 46(7) | 03/07/2015 | | | 29/06/2015 | 29/09/2015 | | | 14/07/2016 C(2016) 4415 | 16/08/2016 | | |
| • Draft RTS under Article 80(3) of MiFID II | MiFID Art 80(3) | 03/07/2015 | | | 29/06/2015 | 29/09/2015 | | | 14/07/2016 C(2016) 4407 | 16/08/2016 | | |
| Packaged retail and insurance-based investment products (PRIIPs) Regulation | | | | | | | | | | | | |
| Draft RTS on Key Information Documents (KIDs) | Art. 8(5), 10(2) and 13(5) | 31/03/2015 (Art 8(5))and 31/12/2015 (Art 10(2) and 13(5)) | 17/11/2014 – 17/02/2015 JC/DP/2014/02 (general) Responses | 11/11/2015 – 29/01/2016 JC/CP/2015/073 Responses | 31/03/2016 JC/2016/21 | 30/06/2016 | | | 30/06/2016 C(2016) 3999 Annexes 1-7 | 30/07/2016 | | |
| Prospectus Directive (PD) | | | | | | | | | | | | |
| Draft RTS on prospectus related issues under the Omnibus II Directive | | | | 25/09/2015 – 19/12/2015 2014/1186 Responses | 25/06/2015 2015/1014 | 25/09/2015 | | | 30/11/2015 C(2015) 8379 | 30/12/2015 | 04/03/2016 OJ 2016/301 | 24/03/2016 |

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| determine the principal venue for the trading of a share | | | | | | | | | | | | |
| Draft ITS | | | | | | | | | 29/06/2012 | n/a | 18/09/2012 OJ 827/2012 | 19/09/2012 |
| <ul style="list-style-type: none">Means by which the information on net short positions in shares may be disclosed to the public | Art. 9(6) | 31/03/2012 | | | | | | | | | | |
| <ul style="list-style-type: none">Format of the information to be provided to ESMA (summary information on net short positions in shares, debt and uncovered CDS to be provided on quarterly basis and information ESMA may require from CAs on request) | Art. 11(4)) | 31/03/2012 | | | | | | | | | | |
| <ul style="list-style-type: none">Types of agreements, arrangements and measures that adequately ensure that the share will be available for settlement | Art. 12(2) | 31/03/2012 | | | | | | | | | | |
| <ul style="list-style-type: none">Types of agreements or arrangements that adequately ensure that the sovereign debt will be available for settlement | Art. 13(5) | 31/03/2012 | | | | | | | | | | |
| <ul style="list-style-type: none">Draft ITS on (a) the date on which and period in respect of which any calculation determining the principal venue for a share is to be made, (b)the date by which the relevant competent authority shall notify ESMA of those shares for which the principal venue is outside the Union and (c) the date from which the list is to be effective following publication by ESMA | Art. 16(4) | 31/03/2012 | | | | | | | | | | |
| Transparency Directive (TD) | | | | | | | | | | | | |
| Draft RTS on the European Electronic Access Point (EEAP) | Art 22(1) | 27/11/2015 | | 19/12/2014 - 30/03/2015 2014/1566 Responses | 25/09/2015 2015/1460 | 26/12/2015 | | | 19/05/2016 C(2016) 2887 Annex | 20/06/2016 | | |

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| Draft RTS on major shareholdings and an indicative list of financial instruments subject to notification requirements | | | | 20/03/2014 – 30/05/2014 2014/300 Responses | 29/09/2014 2014/1187 | 29/10/2014 | | | 17/12/2014 | 19/01/2015 | 13/05/2015 OJ 2015/761 | 02/06/2015 |
| • Calculation method of the 5 % threshold referred to in the Article 9(5) and (6) exemptions | Art 9(6b) | 27/11/2014 | | | | | | | | | | |
| • Method of calculating the number of voting rights referred to in Article 13(1a)(a) in the case of financial instruments referenced to a basket of shares or an index | Art 13(1a)(a) | 27/11/2014 | | | | | | | | | | |
| • Methods of determining delta for the purposes of calculating voting rights relating to financial instruments which provide exclusively for a cash settlement | Article 13(1a)(b) | 27/11/2014 | | | | | | | | | | |
| • Client-serving transactions | Art 13(4), second subparagraph | 27/11/2014 | | | | | | | | | | |
| <u>UCITS Directive</u> | | | | | | | | | | | | |
| Draft ITS on penalties and measures | Art 99e(3) | 18/09/2015 | | | 18/09/2015 2015/1409 | 18/12/2015 | | | | | | |