

Technical standards under Directive 2004/39/EC (MiFID I), Directive 2014/65/EU (MiFID II) and Regulation (EU) No 600/2014 (MiFIR)

(last updated: 14/07/2016)

RTS/ITS	Legal Basis	Adoption by the European Commission	Acts as adopted by the Commission English version	Acts as adopted by the Commission German version	Acts as adopted by the Commission French version	End of EP/Council scrutiny	Published in the Official Journal
Transparency requirements for trading venues and investment firms in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments	MiFIR Articles 4(6), 7(2), 14(7), 20(3), 22(4) and 23(3)	14/07/2016 C(2016) 4390	RTS 1 in English	RTS 1 in German	RTS 1 in French	16/08/2016	
			Annex to RTS 1 in English	Annex to RTS 1 in German	Annex to RTS 1 in French		
Transparency requirements for trading venues and investment firms in respect of bonds, structured finance products, emission allowances and derivatives	MiFIR Articles 1(8), 9(5), 11(4), 21(5) and 22(4)	14/07/2016 C(2016) 4301	RTS 2 in English	RTS 2 in German	RTS 2 in French	16/08/2016	
			Annex to RTS 2 in English	Annex to RTS 2 in German	Annex to RTS 2 in French		
The volume cap mechanism and the provision of information for the purposes of transparency and other calculations	MiFIR Articles 5(9) and 22(4)	13/06/2016 C(2016) 2711	RTS 3 in English	RTS 3 in German	RTS 3 in French	13/07/2016	
			Annex to RTS 3 in English	Annex to RTS 3 in German	Annex to RTS 3 in French		
Criteria for determining whether derivatives subject to the clearing obligation should be subject to the trading obligation	MiFIR Article 32(6)	26/05/2016 C(2016) 2710	RTS 4 in English	RTS 4 in German	RTS 4 in French	27/08/2016	
Direct, substantial and foreseeable effect of derivative contracts within the Union	MiFIR Article 28(5)	13/06/2016 C(2016) 3544	RTS 5 in English	RTS 5 in German	RTS 5 in French	13/07/2016	
Specifying the organisational requirements of investment firms engaged in algorithmic trading	MiFID Article 17(7)(a) and (d)						
Specifying organisational requirements of facilities trading venues allowances and derivatives	MiFID Article 48(12)(a),(c) and (g)	14/07/2016 C(2016) 4387	RTS 7 in English	RTS 7 in German	RTS 7 in French	16/08/2016	
			Annex to RTS 7 in English	Annex to RTS 7 in German	Annex to RTS 7 in French		
Specifying the requirements on market making agreements and schemes	MiFID Article 17(7)(a), (b) and (c) and Article 48(12)(a) and (f)	13/06/2016 C(2016) 3523	RTS 8 in English	RTS 8 in German	RTS 8 in French	13/07/2016	

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The ratio of unexecuted orders to transactions	MiFID Article 48(12)(b)	18/05/2016 C(2016) 2775	RTS 9 in English	RTS 9 in German	RTS 9 in French	18/08/2016	
			Annex to RTS 9 in English	Annex to RTS 9 in German	Annex to RTS 9 in French		
Requirements to ensure fair and non-discriminatory co-location services and fee structures	MiFID Article 48(12)(d)	06/06/2016 C(2016) 3266	RTS 10 in English	RTS 10 in German	RTS 10 in French	06/07/2016	
Tick size regime for shares, depositary receipts and, exchange traded funds	MiFID Article 49(3) and (4)	14/07/2016 C(2016) 4387	RTS 11 in English	RTS 11 in German	RTS 11 in French	16/08/2016	
			Annex to RTS 11 in English	Annex to RTS 11 in German	Annex to RTS 11 in French		
Determination of a material market in terms of liquidity relating to halt notifications	MiFID Article 48(12)(e)	26/05/2016 C(2016) 3020	RTS 12 in English	RTS 12 in German	RTS 12 in French	26/08/2016	
Authorization, organisational requirements and the publication of transactions for data reporting services providers	MiFID Articles 61(4), 64(6),(8), 65(6), (8), and 66(5)	02/06/2016 C(2016) 3201	RTS 13 in English	RTS 13 in German	RTS 13 in French	04/07/2016	
Specification of the offering of pre-and post-trade data and the level of disaggregation of data	MiFIR Article 12(2)	02/06/2016 C(2016) 3206	RTS 14 in English	RTS 14 in German	RTS 14 in French	04/07/2016	
Clearing access in respect of trading venues and central counterparties	MiFIR Articles 35(6) and 36(6)	24/06/2016 C(2016) 3807	RTS 15 in English	RTS 15 in German	RTS 15 in French	24/07/2016	
			Annex to RTS 15 in English	Annex to RTS 15 in German	Annex to RTS 15 in French		
Access in respect of benchmarks	MiFIR Article 37(4) (a), (b), and (c)	02/06/2016 C(2016) 3203	RTS 16 in English	RTS 16 in German	RTS 16 in French	04/07/2016	
Admission of financial instruments to trading on regulated markets	MiFIR 3rd subpara Article 51(6)	24/05/2016 C(2016) 3017	RTS 17 in English	RTS 17 in German	RTS 17 in French	24/08/2016	

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Suspension and removal of financial instruments from trading reporting services providers	MiFID 10th subpara of Article 32(2) and the 10th subpara of Article 52(2)	24/05/2016 C(2016) 3014	RTS 18 in English	RTS 18 in German	RTS 18 in French	24/08/2016	

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Description of the functioning of MTFs and OTFs	MiFID 3rd subpara of Article 18(11)	24/05/2016 C(2016) 3019				N/A	ITS 19 in the Official Journal
Criteria to establish when an activity is considered to be ancillary to the main business	MiFID Article 2(4)						
Application of position limits to commodity derivatives	MiFID Article 57(3) and (12)						
Reporting of transactions to competent authorities	MiFIR 3rd subpara of Article 26(9)						
Supply of financial instruments reference data	MiFIR the 3rd subpara of Article 27(3)	14/07/2016 C(2016) 4405	RTS 23 in English	RTS 23 in German	RTS 23 in French	16/08/2016	
			Annex to RTS 23 in English	Annex to RTS 23 in German	Annex to RTS 23 in French		
Maintenance of relevant data relating to orders in financial instruments	MiFIR 4th subpara of Article 25(3)	24/06/2016 C(2016) 3821	RTS 24 in English	RTS 24 in German	RTS 24 in French	24/07/2016	
			Annex to RTS 24 in English	Annex to RTS 24 in German	Annex to RTS 24 in French		
Level of accuracy of business clocks	MiFID 3rd subpara of Article 50(2)	07/06/2016 C(2016) 3316	RTS 25 in English	RTS 25 in German	RTS 25 in French	07/07/2016	
			Annex to RTS 25 in English	Annex to RTS 25 in German	Annex to RTS 25 in French		
Specifying the obligation to clear derivatives traded on regulated markets and timing of acceptance for clearing (STP)	MiFIR Article 29(3)	29/06/2016 C(2016) 3944	RTS 26 in English	RTS 26 in German	RTS 26 in French	29/07/2016	
Data to be provided by execution venues on the quality of execution of transactions	MiFID point (a) of the 1st subpara of Article 27(10)	08/06/2016 C(2016) 3333/4	RTS 27 in English	RTS 27 in German	RTS 27 in French	08/07/2016	
			Annex to RTS 27 in English	Annex to RTS 27 in German	Annex to RTS 27 in French		
Annual publication by investment firms of information on the identity of	MiFID point (b) of the 1st	08/07/2016	RTS 28 in English	RTS 28 in German	RTS 28 in French	08/07/2016	

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execution venues and on the quality of execution	subpara of Article 27(10)	C(2016) 3337/3	Annex to RTS 28 in English	Annex to RTS 28 in German	Annex to RTS 28 in French	06/07/2016	

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Authorisation	MiFID Article 7(4)	14/07/2016 C(2016) 4417	RTS on authorisation in English	RTS on authorisation in German	RTS on authorisation in French	16/08/2016	
Authorisation	MiFID 3rd subpara of Article 7(5)						
Passporting	MiFID 3rd subpara of Articles 34(8) and the 3rd subpara of Article 35(11)	29/06/2016 C(2016) 3917	RTS on passporting in English	RTS on passporting in German	RTS on passporting in French	29/07/2016	
Passporting	MiFID Articles 34(9) and 35(12)						
Cooperation between authorities	MiFIR Article 46(7)	14/07/2016 C(2016) 4415	RTS on cooperation between authorities in English	RTS on cooperation between authorities in German	RTS cooperation between authorities in French	16/08/2016	
Registration of third country firms	MiFID Article 80(3)	14/07/2016 C(2016) 4407	RTS on registration of third country firms in English	RTS on registration of third country in German	RTS on registration of third country firms in French	16/08/2016	

An exhaustive list of information to be included by proposed acquirers in the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article 10(a)(8)						
Standard forms, templates and procedures for the consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article						