

ESMA Guidelines (last updated on 12 April 2022)									
Overarching directive	Title	Legal basis	Consultation paper	Feedback	Final report	Translation in official languages	Date of application	Compliance table	Peer reviews
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on reporting obligations under Articles 3(3)(d) and 24(1),(2) and (4) of the AIFMD	Own initiative (16 ESMAR)	24/05/2013 - 01/07/2013 2013/592	Responses	15/11/2013 2013/1339 REV	08/08/2014 2014/869	10-Oct-14	Updated 24/03/2021 ESMA34-32-458	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on the model MoU concerning consultation, cooperation and the exchange of information related to the supervision of AIFMD entities	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	18/07/2013 2013/998	29-Nov-13	11/11/2020 ESMA-34-32-699	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on key concepts of the AIFMD	Own initiative (16 ESMAR)	19/12/2012 - 01/02/2013 2012/845	Responses	24/05/2013 2013/600	13/08/2013 2013/611	13-Oct-13	Updated 30/11/2021 ESMA/2016/572	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on sound remuneration policies under the AIFMD	Art 13(2)	28/06/2012 - 27/09/2012 2012/406	Responses	11/02/2013 2013/201	03/07/2013 2013/232	22-Jul-13	04/05/2016 2016/675 (last updated 04/10/2017)	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on Article 25 of Directive 2011/61/EU	Own initiative (16 ESMAR)	27/3/2020 - 1/9/2020 ESMA34-39-967	Responses	17/12/2020 ESMA34-32-552	23/06/2021 ESMA34-32-701	23-Aug-21	10/11/2021 ESMA34-32-898	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Access by a CSD to the Transaction Feeds of a CCP or of a Trading Venue under CSDR	Own initiative (16 ESMAR)	18/12/2014 - 19/02/2015 2014/1565	Responses	23/03/2017 ESMA70-708036281-7	08/06/2017 ESMA70-151-298	8-Aug-17	19/10/2018 ESMA70-151-727	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on participant default rules and procedures under CSDR	Art 41(4)	31/05/2016 - 30/06/2016 2016/732	Responses	23/03/2017 ESMA70-708036281-8	08/06/2017 ESMA70-151-294	8-Aug-17	22/10/2018 ESMA70-151-732	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Cooperation between Authorities under articles 17 and 23 of CSDR	Art 14(1)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-151-435	28-May-18	18/10/2018 ESMA70-151-1417	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on the Process for the Calculation of the Indicators to Determine the Substantial Importance of a CSD for a Host Member State	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-708036281-67	28-Mar-18	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on the Process for the Calculation of the Indicators to Determine the Most Relevant Currencies in which Settlement Takes Place	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-708036281-66	28-Mar-18	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Internalised Settlement Reporting under Article 9 of CSDR	Own initiative (16 ESMAR)	10/07/2017 - 14/09/2017 ESMA70-151-457	Responses	28/03/2018 ESMA70-151-1258	30/04/2019 ESMA70-151-367	4/30/19	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Settlement Fails Reporting under Article 7(1) of CSDR	Art. 7(1) CSDR	20/12/2018 - 20/02/2019 ESMA70-151-1855	Responses	24/09/2021 ESMA70-156-4717	08/12/2021 ESMA70-156-4717	6/2/22	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on standardised procedures and messaging protocols used between investment firms and their professional clients under Article 6(2) of CSDR	Art/ 6 (2) CSDR	20/12/2018 - 20/02/2019 ESMA70-151-1847	Responses	8/10/2019 ESMA70-151-2641	06/04/2020 ESMA70-151-2906	25-May-18	None at present	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the validation and review of Credit Rating Agencies' methodologies	Art 8(3) and 8(5) CRA Regulation	13/07/2016 - 22/08/2016 2016/1121	Responses	15/11/2016 2016/1575	23/03/2017 2016/1575	23-May-17	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on periodic information to be submitted to ESMA by Credit Rating Agencies	Own initiative (16 ESMAR)	16/07/2014 - 31/10/2014 2014/845	Responses	19/03/2015 2015/609	23/06/2015 2015/609	23-Aug-15	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the submission of periodic information to ESMA by Credit Rating Agencies -2d edition	Own initiative (16 ESMAR)	19/07/2018 - 26/09/2018 ESMA 33-9-252	Responses	05/02/2019 ESMA33-9-295	07/04/2021 ESMA33-9-295	07/06/2021	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Disclosure Requirements Applicable to Credit Ratings	Own initiative (16 ESMAR)	19/12/2018 - 19/03/2019 ESMA33-9-20	Responses	18/07/2019 ESMA33-9-320	12/03/2021 ESMA33-9-320	30-Mar-20	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines and Recommendations on the Scope of the CRA Regulation	Own initiative (16 ESMAR)	20/12/2012 - 20/02/2013 2012/841	Responses	17/06/2013 2013/720	30/07/2013 2013/720	1-Oct-13	N/A	None at present
					28/10/2022 ESMA80-196-6345	28/10/2022 ESMA80-196-6345	28-Oct-22	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines and Recommendations: Cooperation including delegation between ESMA, the competent authorities and the sectoral competent authorities under Regulation (EU) No 513/2011 on credit rating agencies	Art 21 (2)	No consultation conducted. These guidelines have the nature of a memorandum of understanding between ESMA and the national competent authorities. As a result, neither consultation nor national implementation was required from the Member States.	No consultation conducted.	No consultation conducted.	10/01/2012 2011/188	6-Oct-11	N/A (. These guidelines have the nature of a memorandum of understanding between ESMA and the national competent authorities. As a result, neither consultation nor national implementation was required from the Member States.)	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	repealed (see ESMA33-9-205) Guidelines on the application of the endorsement regime under Article 4 (3) of the Credit Rating Agencies Regulation No 1060/2009 (Annex I of the Final Report)	Art 21(3)	18/03/2011 - 31/03/2011 2011/97	Responses	18/05/2011 2011/139	None at present	18-May-11	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the application of the endorsement regime under Article 4(3) of the Credit Rating Agencies Regulation – supplementary guidance on how to assess if a	Art 21(3)	First consultation 04/04/2017 - 03/07/2017 ESMA33-9-159	Responses	17/11/2017 ESMA33-9-205	20/05/2019	1- Jan-19	N/A	None at present

	requirement is "as stringent as" the requirements set out in CRAR		Second consultation 27/03/2018 - 25/05/2018 ESMA33-9-235	Responses	18/07/2018 ESMA33-9-246	ESMA33-9-282			
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Disclosure Requirements for Initial Reviews and Preliminary Ratings	Own initiative (16 ESMAR)	26/05/2021 ESMA 33-9-413	Responses	31/01/2022 ESMA80-416-203	09/06/2023 ESMA80-416-203	1-Jul-22	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Internal Control for CRAs	Own initiative (16 ESMAR)	5/12/2019 - 13/04/2020 ESMA33-9-355	Responses	30/09/20 ESMA33-9-371	10/03/2021 ESMA33-9-371	10-May-21	None at present	None at present
Distributed ledger technology Regulation (EU 2022/858)	Guidelines on standard forms, formats and templates to apply for permission to operate a DLT Market Infrastructure	Own initiative (16 ESMAR)	11/07/2022- 09/09/2022 ESMA70-460-34	Responses	15/12/2022 ESMA70-460-206	08/03/2023 ESMA70-460-213	3/23/23	None at present	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines and Recommendations regarding the implementation of the CPSS-IOSCO Principles for Financial Market Infrastructures in respect of Central Counterparties	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	04/09/2014 2014/1133	4-Sep-14	16/02/2016 2016/275	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines and Recommendations regarding written agreements between members of CCP colleges	Own initiative (16 ESMAR)	No consultation paper. See page 5 of final report for reasoning.	No consultation conducted.	04/06/2013 2013/661 21/01/2021 (revised) ESMA70-151-2924	03/10/2013 2013/1390 None at present	3-Oct-13 None at present	16/02/2016 2016/273 None at present	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines and Recommendations for establishing consistent, efficient and effective assessments of interoperability arrangements	Art 54(4)	20/12/2012 - 31/01/2013 2012/852	Responses	10/06/2013 2013/323	10/06/2013 2013/322	10-Jun-13	16/02/2016 2016/274	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines on transfer of data between TRs (ESMA70-151-1116) under EMIR and SFTR (TBD)	Own initiative (16 ESMAR)	31/01/2017 - 31/03/2017 ESMA70-708036281-17 28/05/2021 ESMA74-362-1941	Responses Responses	24/08/2017 ESMA70-151-552 25/03/2022 ESMA74-362-2351	27/April/2018 ESMA70-151-1116 None at present	16-Oct-17 None at present	Not applicable None at present	None at present None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines on CCP conflicts of interest management	Own initiative (16 ESMAR)	01/07/2017 - 24/08/2017 ESMA70-151-291	Responses	07/02/2018 ESMA70-151-1094	05/04/2019 ESMA70-151-1439	6/5/19	08/03/2021 ESMA70-151-2537	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines on position calculation under EMIR	Own initiative (16 ESMAR)	15/11/2017 - 15/01/2018 ESMA70-151-819	Responses	27/03/2018 ESMA70-151-1272	28/03/2019 ESMA70-151-1350	12/3/18	None at present	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines on Anti-Procyclicality Margin Measures for Central Counterparties	Own initiative (16 ESMAR)	08/01/2018 - 28/02/2018 ESMA70-151-1013	Responses	28/03/2018 ESMA70-151-1293	15/04/2019 ESMA70-151-1496	3-Dec-18	08/03/2021 ESMA70-151-2536	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines further specifying the circumstances for temporary restrictions in case of a significant non-default event in accordance with Article 45a of EMIR	Art 45a(3) EMIR Art 16 ESMAR	12/07/2021 - 20/09/2021 ESMA91-372-1358	Responses	31/01/2022 ESMA91-372-1704	02/06/2023 ESMA91-372-1704	8/2/23	None at present	None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines for reporting of derivative contracts under Article 9 of EMIR	Own initiative (16 ESMAR)	08/07/2021 - 30/09/2021 ESMA74-362-1893	Responses	14/12/2022 ESMA74-362-2281 14/12/2022 ESMA74-362-2281	None at present None at present	None at present None at present	None at present None at present	None at present None at present
EMIR [Regulation (EU) No 648/2012]	Guidelines on common procedures and methodologies on supervisory review and evaluation process of CCPs under Article 21 of EMIR	Own initiative (16 ESMAR)	23/10/2020 - 16/11/2020 ESMA70-151-3076	None at present	10/03/2022 ESMA70-151-3374	10/03/2022 ESMA70-151-3374	5/10/22	None at present	None at present
Financial Conglomerates Directive (FICOD) [Directive 2002/87/EC]	Joint Guidelines on the convergence of supervisory practices relating to the consistency of supervisory coordination arrangements for financial conglomerates	Subparagraph 3 of Art 11(1)	12/03/2014 - 12/06/2014 JC/CP/2014/02	Responses	22/12/2014 JC/GL/2014/01	22/12/2014 JC/GL/2014/01	23-Feb-15	22/12/2015 JC/2015/087	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines for persons receiving market soundings	Art 11(11)	28/01/2016 2016/162	Responses	13/07/2016 2016/1130	10/11/2016 2016/1477	10-Jan-17	17/03/2017 (update 31/01/2018) ESMA70-145-66	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines on legitimate interests of issuers to delay disclosure of inside information and situations in which the delay of disclosure is likely to mislead the public	Art 17(11)	28/01/2016 2016/162	Responses	13/07/2016 2016/1130	20/10/2016 2016/1478	20-Dec-16	17/03/2017 (update 31/01/2018) ESMA70-145-67	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines on delay in the disclosure of inside information and interactions with prudential supervision	Art 17(11) MAR Art 16 ESMAR	08/07/2021-27/08/2021 ESMA70-156-3934	Responses	05/01/2022 ESMA70-159-4966	13/04/2022 ESMA70-159-4966	13-Jun-22	02/02/2023 ESMA70-449-741	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines on MAR - information relating to commodity derivatives markets or related spot markets for the purpose of the definition of inside information on commodity derivatives	Article 7(5)	28/01/2016 2016/162	Responses	30/09/2016 2016/1412	17/01/2017 ESMA/2016/1480	17-Mar-17	28/08/2017 (update 31/01/2018) ESMA70-149-153	None at present
MiFID I [Directive 2004/39/EC]	Consolidated (see ESMA-70-156-869) Guidelines on the application of the definitions in Sections C6 and C7 of Annex I of Directive 2004/39/EC (MiFID)	Own initiative (16 ESMAR)	29/09/2014 - 05/01/2015 2014/1189	Responses	06/05/2015 2015/675	20/10/2015 2015/1341	7-Aug-15	Not applicable	None at present
MiFID I [Directive 2004/39/EC]	Guidelines and Recommendations on remuneration policies and practices (MiFID)	Own initiative (16 ESMAR)	17/09/2012 - 07/12/2012 2012/570	Responses	11/06/2013 2013/606	01/10/2013 2013/606	1-Oct-13	2014/1213	None at present
MiFID I [Directive 2004/39/EC]			22/12/2011 - 24/02/2012 2011/446	Responses	06/07/2012 2012/388	28/09/2012 2012/388	29-Jan-13	2013/923	29 November 2017 ESMA42-111-4285 4/7/2023 ESMA42-2004696504-7627
MiFID I [Directive 2004/39/EC]	Guidelines on certain aspects of the MiFID compliance function requirements	Own initiative (16 ESMAR)							
MiFID I [Directive 2004/39/EC]	Guidelines on certain aspects of the MiFID suitability requirements	Own initiative (16 ESMAR)	22/12/2011 - 24/02/2012 2011/445	Responses	06/07/2012 2012/387	21/08/2012 2012/387	22-Dec-12	2013/922	07/04/2016 2016/584 Follow-up 24/07/2018 ESMA 42-111-4653
MiFID I [Directive 2004/39/EC]	Withdrawn. Guidelines: Systems and controls in an automated trading environment for trading platforms, investment firms and competent authorities	Own initiative (16 ESMAR)	20/07/2011 - 03/10/2011 2011/224	Responses	22/12/2011 2011/456	24/02/2012 2012/122	1-May-12	ESMA/2012/332	18/03/2015 2015/592
MiFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on the MiFIDII/MiFIR obligations on market data	Own initiative (16 ESMAR)	06/11/2020 - 11/01/2021 ESMA70-156-2477	Responses	01/06/2021 ESMA70-156-4305	18/08/2021 ESMA70-156-4263	1-Jan-21	ESMA70-156-4754	None at present
MiFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on the application of C6 and C7 of Annex 1 of MiFID II	Own initiative (16 ESMAR)	N/A	N/A	21 December 2018 ESMA-70-156-869	05/06/2019 ESMA-70-156-869	5-Aug-19	ESMA70-156-1411	None at present
MiFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on Cross-Selling Practices under MiFID II	Art 24(11)	22/12/2014 - 22/03/2015 JC/CP/2014/05	Responses	22/12/2015 2015/1872	11/07/2016 2016/574	03-Jan-18 (*)	ESMA35-43-1968	None at present
MiFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on complex debt instruments and structured deposits	Art 25(10)	23/04/2015 – 10/07/2015 2015/610	Responses	26/11/2015 2015/1783	04/02/2016 2015/1787	03-Jan-18 (*)	ESMA35-43-1957	None at present

MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines: Transaction reporting, order record keeping and clock synchronisation under MIFID II	Own initiative (16 ESMAR)	23/12/2015 - 23/03/2016 2015/1909	Responses	10/10/2016 (corrected 07/08/2017) ESMA/2016/1452	02/10/2017 ESMA/2016/1452	03-Jan-18 (*)	ESMA70-145-1345	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on the calibration of the circuit breakers and publication of tradings halts under MIFID II	Own initiative (16 ESMAR)	06/10/2016 - 06/12/2016 2016/1140	Responses	06/04/2017 ESMA70-872942901-63	27/06/2017 ESMA70-872942901-63	3-Jan-18	ESMA70-156-177	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on the management body of market operators and data reporting services providers	Art 45(9) and Art 63(2)	05/10/2016 - 05/01/2017 2016/1437	Responses	28/09/2017 ESMA70-154-271	19/12/2017 ESMA70-154-271	3-Jan-18	ESMA70-156-350	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on MIFID II product governance requirements	Own initiative (16 ESMAR)	05/10/2016 - 05/01/2017 2016/1436	Responses	02/06/2017 ESMA35-43-620	05/02/2018 ESMA35-43-620	3-Jan-18	ESMA35-43-1076	None at present
					27/03/2023 ESMA35-42-3448	None at present	None at present	None at present	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on knowledge and competence	Art 25(9) MIFID II	23/04/2015 2015/753	Responses	17/12/2015 2015/1886	22/03/2016 2015/1886	03-Jan-18 (*)	ESMA35-43-2183	None at present
						03/01/2017 ESMA71-1154262120-153 EN (rev)			
MIFID II [Directive 2014/65/EU] and CRD IV (Directive 2013/36/EU)	Joint ESMA/EBA guidelines on the assessment of suitability of members of the management body and key function holders	Art 9(1) MIFID II Art 91(12) of CRD IV	28/10/2016 - 28/01/2017 2016/1529	Responses	26/09/2017 EBA/GL/2017/12/ESMA71-99-598	21/03/2018 EBA/GL/2017/12	30-Jun-18	ESMA35-43-1215	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on certain aspects of the MiFID II suitability requirements	Own initiative (16 ESMAR)	13/07/2017-13/10/2017 ESMA35-43-748	Responses	28/05/2018 ESMA35-43-869	06/11/2018 ESMA35-43-1163	5-Jan-19	ESMA35-43-1430	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on certain aspects of the MiFID II suitability requirements [Revised]	Own initiative (16 ESMAR)	27/01/2022-27/04/2022 ESMA35-43-2998	Responses	23/09/2022 ESMA35-43-3172	03/04/2023 ESMA35-43-3172	10/3/23	ESMA35-335435667-4315	None at present
MIFID II [Directive 2014/65/EU] and MiFIR (600/2014)	Guidelines on certain aspects of the MiFID II compliance function requirements	Own initiative (16 ESMAR)	15/07/2019 - 15/10/2019 ESMA35-43-2019	Responses	05/06/2020 ESMA35-36-1952	06/04/2021 ESMA35-36-1952	6-Jun-21	ESMA35-43-2517	None at present
MIFID II [Directive 2014/65/EU]	Guidelines on certain aspects of the MiFID II appropriateness and execution-only requirements	Own initiative (16 ESMAR)	29/01/2021 - 29/04/2021 ESMA35-36-2159	None at present	03/01/2022 ESMA35-43-2938	12/04/2022 ESMA35-43-3006	12-Nov-22	ESMA35-43-3327	None at present
MiFID II [Directive 2014/65/EU]	Guidelines on market outages	Own initiative (16 ESMAR)	26/09/2022-16/12/2022 ESMA70-156-6040	Responses	None at present	none	none at present	none at present	none at present
MiFID II [Directive 2014/65/EU]	Guidelines on technical standards under Article 34 of MiFID II	Own initiative (16 ESMAR)	17/11/2022-17/02/2022 ESMA35-36-2640	Responses	None at present	None at present	None at present	None at present	none at present
MIFID II [Directive 2014/65/EU]	Guidelines on certain aspects of the MiFID II remuneration requirements	Own initiative (16 ESMAR)	19/07/2021 - 19/10/2021 ESMA35-36-2324	Responses	31/03/2022 ESMA35-36-2537	03/04/2023 ESMA35-43-3565	10/3/23	None at present	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on the reporting to competent authorities under article 37 of the MMF Regulation	Art. 37 MMF Regulation	13/11/2018 - 14/02/2019 ESMA34-49-144	Responses	19/07/2019 ESMA34-49-168	22/06/2020 ESMA34-49-173	22-Aug-20	ESMA50-164-4045	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios	Art 28 MMF Regulation	24/05/2017 - 07/08/2017 ESMA34-49-82	Responses	13/11/2017 ESMA34-49-103	21/03/2018 ESMA34-49-115	21-Jul-18	ESMA34-49-186	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios Updated	Art 28 MMF Regulation	28/09/2018 - 01/12/2018 ESMA34-49-131	Responses	19/07/2019 ESMA34-49-164	03/03/2020 ESMA34-49-172	3-May-20	ESMA34-49-186	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios Updated	Art 28 MMF Regulation	28/09/2018 - 01/12/2018 ESMA34-49-132	Responses	16/12/2020 ESMA34-49-289	29/06/2021 ESMA34-49-291	29-Aug-21	ESMA34-49-373	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios Updated	Art 28 MMF Regulation	28/09/2018 - 01/12/2018 ESMA34-49-131	Responses	14/02/2022 ESMA50-164-6583	None at present	None at present	None at present	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios Updated	Art 28 MMF Regulation	31/01/2023-28/04/2023 ESMA34-49-496	None at present	None at present	None at present	None at present	None at present	None at present
Other	Guidelines for complaints-handling for the securities (ESMA) and banking (EBA) sectors	Own initiative (16 ESMAR)	06/11/2014 - 07/02/2015 JC-CP-2013-03	Responses	27/05/2014 JC/2014/43	25/08/2014 JC/2014/43	27-Oct-14	JC/GL/2014/43 Appendix 1	05/01/2016 2015/1791
Other	Guidelines on cooperation arrangements and information exchange between competent authorities and between competent authorities and ESMA.	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	N/A	27/03/2014 2014/298	27-Mar-14	ESMA41-117-1108	None at present
Other	Guidelines on Outsourcing to Cloud Service Providers	Own Initiative (16 ESMAR)	03/06/2020 - 01/09/2020 ESMA50-164-3342	Responses	10/05/2021 ESMA50-164-4285	10/05/2021 ESMA50-164-4285	31-Jul-21	ESMA50-164-5210	None at present
Other	Joint Guidelines on the prudential assessment of acquisitions and increases of qualifying holdings in the banking, insurance and securities sectors	Own Initiative (16 ESMAR)	02/07/2015-02/10/2015 JC/GL/2016/01	Responses	20/12/2016 JC/GL/2016/01	5/5/17	5-Jul-17	JC/GL/2016/72	None at present
Other	Joint EBA and ESMA Guidelines on common procedures and methodologies for the supervisory review and evaluation process (SREP) under Directive(EU) 2019/2034	Art. 45(2) of Directive (EU) 2019/2034	18/11/2021-18/02/2022 EBA/CP/2021/35	Responses	20/07/2022 ESMA/35-36-2621	21/07/2022 ESMA-35-42-1470	19-Jun-23	None at present	None at present
Securities Financing Transactions Regulation (SFTR) [Regulation (EU) 2365/2015] and EMIR [Regulation (EU) No 648/2012]	Guidelines on periodic information and notification of material changes to be submitted to ESMA by Trade Repositories	Own initiative (16 ESMAR)	27/05/2019 - 27/08/2019 ESMA70-145-1145	Responses	23/03/2021 ESMA74-362-1853	None at present	None at present	None at present	None at present
Securities Financing Transactions Regulation (SFTR) [Regulation (EU) 2365/2015]	Guidelines on calculation of positions in SFTs by Trade Repositories	Own initiative (16 ESMAR)	09/07/2020-15/09/2020 ESMA74-362-608	Responses	25/05/2021 ESMA74-362-1986	None at present	None at present	None at present	None at present
Securities Financing Transactions Regulation (SFTR) [Regulation (EU) 2365/2015]	Guidelines on reporting under Articles 4 and 12 SFTR	Own initiative (16 ESMAR)	27/05/2019-29/07/2019 ESMA70-151-1985	Responses	06/01/2020 ESMA70-151-2703	29/03/2021 ESMA70-151-2838	30-Mar-21	None at present	None at present
Short Selling Regulation (SSR) [Regulation (EU) 236/2012]	Guidelines on exemption for market making activities and primary market operations under Regulation (EU) 236/2012 of the European Parliament and the Council on short selling and certain aspects of Credit Default Swaps.	Own initiative (16 ESMAR)	17/09/2012 - 05/10/2012 2012/580	Responses	01/02/2013 2013/158	02/04/2013 2013/74	4-Jun-13	ESMA70-21038340-46	None at present
Transparency Directive (TD) [Directive 2004/109/EC]	Guidelines on Alternative Performance Measures	Own initiative (16 ESMAR)	13/02/2014 - 14/05/2015 2014/175	Responses	30/06/2015 2015/1057	05/10/2015 2015/1415	3-Jul-16	ESMA32-67-184	None at present
Transparency Directive (TD) [Directive 2004/109/EC]	Guidelines on enforcement of financial information	Own initiative (16 ESMAR)	19/07/2013 - 15/10/2013 2013/1013	Responses	10/07/2014 2014/807	28/10/2014 2014-1293	30-Dec-14	ESMA32-67-142	18/07/2017 ESMA42-111-4138
					Amended version 04/02/2020 ESMA32-50-218	23/11/2020 ESMA32-50-218	1-Jan-22	ESMA32-67-802	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on sound remuneration policies under the UCITS Directive and AIFMD (UCITS policies)	Art 14a(4)	23/07/2015 - 23/10/2015 2015/1172	Responses	31/03/2016 2016/411	14/10/2016 2016/575	1-Jan-17	ESMA/2016/575	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on sound remuneration policies under the UCITS Directive and AIFMD (AIFMD policies)	Art 14a(4)	23/07/2015 - 23/10/2015 2015/1172	Responses	31/03/2016 2016/411	14/10/2016 2016/579	1-Jan-17	ESMA34-32-316	None at present.

UCITS Directive [Directive 2009/65/EC]	Guidelines on ETFs and other UCITS issues Updated	Own initiative (16 ESMAR)	20/12/2013 - 31/01/2014 2013/1974	Responses	24/03/2014 2014/294	01/08/2014 2014/937	1-Aug-14	2016/602	30/07/2018 ESMA42-111-447 Follow up 06/06/2023 ESMA42-111-7570
					Consolidated version ESMA/2014/937				
UCITS Directive [Directive 2009/65/EC]	Guidelines on ETFs and other UCITS issues	Own initiative (16 ESMAR)	30/01/2012 2012/44	Responses	25/07/2012 2012/474	18/12/2012 2012/832	20-Feb-2013 (Note: transitional provisions para. 62-70)	2016/602	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on risk measurement and the calculation of global exposure for certain types of structured UCITS	Own initiative (16 ESMAR)	19/04/2010 - 31/05/2010 CESR/10-108 In July 2010 CESR already issued general guidelines on risk measurement and the calculation of global exposure and counterparty risk for UCITS (Ref. CESR/10-788). Since the principal consultations had been conducted for the general guidelines ESMA considered it inappropriate to conduct new public consultations (see to that effect Article 16(2) of Regulation 1095/2010; see also p. 3 of CESR guidelines and p. 3 of ESMA guidelines).	28/07/2010 CESR Feedback Statement	14/04/2011 2011/112	28/03/2012 2012/197	28-Mar-12	N/A	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on performance fees in UCITS and certain types of AIFs	Own initiative (16 ESMAR)	16/07/2019- 31/10/2019 ESMA34-39-881	Responses	03/04/2020 ESMA34-39-968	05/11/2020 ESMA34-39-992 EN	5-Jan-21	ESMA34-45-1128	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on liquidity stress testing in UCITS and AIFs	Own initiative (16 ESMAR)	05/02/2019 - 01/04/2019 ESMA34-39-784	Responses	02/09/2019 ESMA34-39-882	16/07/2020 ESMA-34-39-897 EN	30-Sep-20	ESMA34-45-974	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on funds' names using ESG or sustainability-related terms	Own initiative (16 ESMAR)	18/11/2022-20/02/2023 ESMA34-472-373	Responses	None at present	None at present	None at present	None at present	None at present
Benchmarks Regulation (BMR) [(EU) 2016/1011]	Guidelines on non-significant benchmarks	Article 5(6) BMR	29/09/2017 - 30/11/2017 ESMA70-145-105	Responses	20/12/2018 ESMA70-145-1008	19/06/2019 ESMA70-145-1209	19-Aug-19	ESMA70-156-1434	None at present
Benchmarks Regulation (BMR) [(EU) 2016/1011]	Guidelines on methodology, oversight function and record keeping under the Benchmarks Regulation	Own initiative (16 ESMAR)	25/02/2021 - 30/04/2021 ESMA80-187-807	Responses	24/09/2021 ESMA81-393-239	07/12/2021 ESMA81-393-288	31-May-22	ESMA81-393-288	None at present
Prospectus Regulation [(EU) 2017/1129]	Guidelines on risk factors under the Prospectus Regulation	Article 16(4) Prospectus Regulation	13/07/2018 - 05/10/2018 ESMA31-62-986	Responses	29/03/2019 ESMA31-62-1217	1/10/2019 ESMA31-62-1293	4-Dec-19	ESMA31-62-1409	None at present
Prospectus Regulation [(EU) 2017/1129]	Guidelines concerning disclosure requirements under the Prospectus Regulation	Own Initiative (16 ESMAR)	12/07/2019 - 04/10/2019 ESMA31-62-1239	Responses	15/07/2020 ESMA31-62-1426	04/03/2021 ESMA32-382-1138	4-May-21	ESMA32-382-1157	None at present
Securitisation Regulation [(EU) 2017/2402]	Guidelines on securitisation repository data completeness and consistency thresholds	Own Initiative (16 ESMAR)	17/01/2020 - 16/03/2020 ESMA33-128-827	Responses	10/07/2020 ESMA33-128-1217	11/11/2020 ESMA33-128-1217	None at present	None at present	None at present
Securitisation Regulation [(EU) 2017/2402]	Guidelines on portability of information between securitisation repositories under the Securitisation Regulation	Own Initiative (16 ESMAR)	23/03/2018 - 23/05/2018 ESMA33-128-109	Responses	05/10/2020 ESMA33-128-1001	05/02/2021 ESMA33-128-1001 EN	1/1/21	None at present	None at present
Regulation on facilitating cross-border distribution of collective investment undertakings [Regulation (EU) 2019/1156]	Guidelines on Marketing Communications under the Regulation on cross-border distribution of funds	Article 4(6)	09/11/2020 ESMA34-45-926	Responses	27/05/2021 ESMA34-45-1244	02/08/2021 ESMA34-45-1272	2-Feb-22	ESMA34-45-1445	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines on the consistent application of the triggers for the use of Early Intervention Measures (Article 18(8) CCPRRR)	Own Initiative (16 ESMAR)	12/07/2021 - 20/09/2021 ESMA70-151-3423	None at present	31/01/2022 ESMA91-372-1700	01/06/2023 ESMA91-372-1700	8/1/23	None at present	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines on CCP recovery plan scenarios (Article 9(12) CCPRRR)	Own Initiative (16 ESMAR)	12/07/2021 - 20/09/2021 ESMA70-151-3404	None at present	31/01/2022 ESMA91-372-1701	24/03/2023 ESMA91-372-1701	5/24/23	None at present	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines on CCP recovery plan indicators (Article 9(5) CCPRRR)	Own Initiative (16 ESMAR)	12/07/2021 - 20/09/2021 ESMA70-151-3421	None at present	31/01/2022 ESMA91-372-1702	24/03/2023 ESMA91-372-1702	5/24/23	None at present	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines on the application of the circumstances under which a CCP is deemed to be failing or likely to fail (Article 22(6) of CCPRRR)	Own Initiative (16 ESMAR)	18/11/2021 - 24/01/2022 ESMA91-372-1495	None at present	12/05/2022 ESMA91-372-2070	01/06/2023 ESMA91-372-2070	8/1/23	None at present	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines on the types and content of the provisions of Cooperation Arrangements (Article 79 of CCPRRR)	Own Initiative (16 ESMAR)	19/05/2022-01/08/2022 ESMA91-372-1791	None at present	17/11/2022 ESMA91-372-1791	None at present	None at present	None at present	None at present
CCP Recovery and Resolution Regulation (CCPRRR) [Regulation (EU) 2021/23]	Guidelines for the methodology to value each contract prior to termination (Article 29(1) of the CCPRRR)	Own Initiative (16 ESMAR)	18/11/2021 - 24/01/2022 ESMA70-151-3396	None at present	02/06/2023 ESMA91-372-206	02/06/2023 ESMA91-372-206	8/2/23	None at present	None at present

(*) Application of MIFID II has been deferred to January 2018.