

Title	Legal basis	Deadline for submission by ESMA	Discussion paper	Consultation paper	Submission to the Commission (Final Report)	Deadline for adoption by the Commission	Endorsement / partial endorsement / amendment proposal by the Commission	ESMA opinion proposing revised TS	Adoption by the Commission	Objection period of the Parliament and the Council	Publication in the Official Journal	Entry into force
<i>(Last update 24/05/2017)</i>			ESMA phase			Commission phase			EP / Council			
Directive 2011/61/EU Alternative Investment Fund Managers AIFMD												
Draft RTS on types of AIFMs	Mandatory (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 (EU) No 694/2014	14/07/2014
Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds Benchmark Regulation												
Draft Technical Standards under the Benchmarks Regulation												
· Draft RTS for the procedures and characteristics of the oversight function	Mandatory (Art. 5(5))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS for ensuring that input data is appropriate and verifiable and for the internal oversight and verification procedures of a contributor that the administrator has to ensure are in place where input data is contributed from a front office function	Mandatory (Art. 11(5))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS specifying the information to be provided on the key elements of the methodology, the details of the internal review and the approval of a methodology and the procedures for consulting on any proposed material change in the benchmark administrator's methodology	Mandatory (Art. 13(3))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS specifying the elements of the code of conduct to be developed by benchmark administrators	Mandatory (Art. 15(6))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS on the governance and control arrangements for supervised contributors to benchmarks	Mandatory (Art. 16(5))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft ITS on template for compliance statements to be used by administrators of significant and non-significant benchmarks	Mandatory (Art. 25(8) and Art. 26(5))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS for the criteria to be taken into account by competent authorities when assessing whether administrators of significant benchmarks should apply certain requirements	Mandatory (Art. 25(9))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS for the benchmark statement to be published by an administrators of a benchmark	Mandatory (Art. 27(3))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS on the form and content of the application for recognition with the competent authority of the Member State of reference	Discretionary (Art. 32(9))	n/a	15/02/2016 – 31/03/2016 2016/288 Responses	29/09/2016 – 02/12/2016 2016/1406 Responses	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS on the information to be provided in an application for authorisation and in an application for	Mandatory (Art. 34(8))	01/04/2017	15/02/2016 – 31/03/2016 2016/288	29/09/2016 – 02/12/2016 2016/1406	30/03/2017 ESMA70-145-48	30/06/2017						

registration			Responses	Responses	Comments							
· Draft ITS on the procedures and forms for exchange of information between competent authorities and ESMA in accordance with Regulation (EU) 2016/1011	Mandatory (Art. 47(3))	01/04/2017	15/02/2016 – 31/03/2016 2016/288 Responses	n/a	30/03/2017 ESMA70-145-48	30/06/2017						
· Draft RTS on cooperation arrangements with third countries under the Benchmarks Regulation	Mandatory (Art. 30(5))	n/a	n/a	n/a	01/06/2017 ESMA70-145-81	### ### ###						
Regulation (EC) No 1060/2009 on credit rating agencies												
CRAR												
Draft RTS of 20 June 2014												
· Draft RTS on the information on structured finance instruments	Mandatory (Art. 8b(3))	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	06/01/2015 (EU) 2015/3	26/01/2015	
· Draft RTS on the European Rating Platform	Mandatory (Art. 21(4a) (a))	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	06/01/2015 (EU) 2015/2	26/01/2015	
· Draft RTS on the fees charged by CRAs to their clients	Mandatory (Art. 21(4a) (b))	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	06/01/2015 (EU) 2015/1	26/01/2015	
Draft RTS on the information for registration and certification of credit rating agencies	Mandatory (Art. 21(4) (a) & (b))	21/06/2014	n/a	19/09/2011 – 21/10/2011 2011/302 Responses	22/12/2011 2011/463	22/03/2012		21/03/2012	23/04/2012	30/05/2012 (EU) No 449/2012	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	Mandatory (Art. 21(4) (c))	21/06/2014	n/a	19/09/2011 – 21/10/2011 2011/304 Responses	22/12/2011 2011/461	22/03/2012		21/03/2012	23/04/2012	30/05/2012 (EU) No 448/2012	19/06/2012	
Draft RTS on the assessment of compliance of credit rating methodologies with CRA Regulation	Mandatory (Art. 21(4) (d))	21/06/2014	n/a	19/09/2011 – 21/10/2011 2011/303 Responses	22/12/2011 2011/462	22/03/2012		21/03/2012	23/04/2012	30/05/2012 (EU) No 447/2012	19/06/2012	
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	Mandatory (Art. 21(4) (e))	21/06/2014	n/a	19/09/2011 – 21/10/2011 2011/305 Responses	22/12/2011 2011/464	22/03/2012		21/03/2012	23/04/2012	30/05/2012 (EU) No 446/2012	30/11/2012	
Regulation (EU) No 575/2013 on prudential requirements for credit institutions and investment firms												
CRR												
Draft ITS on credit assessments by External Credit Assessment Institutions (ECAIs) according to the CRR and according to the Solvency II Directive	Mandatory (Art. 136 (1) and (3))	01/07/2014	n/a	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	07/10/2016	12/10/2016 (EU) 2016/1799	01/11/2016	
Draft ITS on main indices and recognised exchanges under the CRR	Mandatory (Art. 197(8))	31/12/2014	n/a	29/09/2014 – 01/11/2014 2014/1188 Responses	19/12/2014 2014/1571	19/02/2015		28/01/2016 2016/163	13/09/2016	14/09/2016 (EU) 2016/1646	04/10/2016	
Regulation (EU) No 909/2014 on improving securities settlement in the European Union and on central securities depositories												
CSDR												
Draft TS of 28 September 2015 on CSD requirements and on internalised settlement												
· Draft RTS on internalised settlement reporting	Discretionary (Art. 9(2))	n/a	20/03/2014 – 22/05/2014 2014/299	18/12/2014 – 19/02/2015 2014/1563	28/09/2015 2015/1457 Draft RTS and ITS	28/12/2015			11/11/2016 C(2016) 7147	15/02/2017	10/03/2017 (EU) 2017/301	30/03/2017

			Responses	Responses	Impact Assessment				C(2016) 7147/2 of 2.2.2017		C(2017) 392	
· Draft ITS on internalised settlement	Mandatory (Art. 9(3))	18/06/2015	20/03/2014 – 22/05/2014 2014/299 Responses	18/12/2014 – 19/02/2015 2014/1563 Responses	28/09/2015 2015/1457 Draft RTS and ITS Impact Assessment	28/12/2015			XXX [...] (2016) XXX draft Annexes 1-4	15/02/2017	10/03/2017 (EU) 2017/393	10/03/2019
· Draft RTS on CSD requirements	Mandatory (Art. 12(3), 17(9), 18(4), 22(10), 25(12), 26(8), 29(3), 33(5), 37(4), 45(7), 46(6), 48(10), 49(5), 52(3), 53(4) and 55(7))	18/06/2015	20/03/2014 – 22/05/2014 2014/299 Responses	18/12/2014 – 19/02/2015 2014/1563 Responses	28/09/2015 2015/1457 Draft RTS and ITS Impact Assessment	28/12/2015			11/11/2016 C(2016) 7159 final Annexes 1-3	15/02/2017	10/03/2017 (EU) 2017/392	30/03/2017
· Draft ITS on CSD requirements	Mandatory (Art. 17(10), 22(11), 24(8), 29(4), 33(6), 49(6), 52(4), 53(5) and 55(8))	18/06/2015	20/03/2014 – 22/05/2014 2014/299 Responses	18/12/2014 – 19/02/2015 2014/1563 Responses	28/09/2015 2015/1457 Draft RTS and ITS Impact Assessment	28/12/2015			XXX [...] (2016) XXX draft Annexes 1-6	15/02/2017	10/03/2017 (EU) 2017/394	30/03/2017
Draft RTS on settlement discipline	Mandatory (Art. 6(5) and 7(15))	18/06/2015	n/a	30/06/2015 – 06/08/2015 2015/1065 (on buy-in) Responses	01/02/2016 2016/174 Impact Assessment	02/05/2016						

Regulation (EU) 2015/760 on European long-term investment funds

[ELTIF Regulation](#)

Draft RTS under the ELTIF Regulation

· Draft RTS on criteria for establishing the circumstances where derivative contracts solely serve the purpose of hedging the risks inherent to the investments of the ELTIF	Mandatory (Art. 9(3))	09/09/2015	n/a	31/07/2015 – 14/10/2015 2015/1239 Responses	08/06/2016 2016/935	08/09/2016						
· Draft RTS on the circumstances in which the life of an ELTIF is considered sufficient in length to cover the life-cycle of each of the individual assets of	Mandatory (Art. 18(7))	09/09/2015	n/a	31/07/2015 – 14/10/2015 2015/1239 Responses	08/06/2016 2016/935	08/09/2016						
· Draft RTS on the criteria to be used for the assessments in point (a) and the valuation in point (c) of Article 21(2)	Mandatory (Art. 21(3))	09/09/2015	n/a	31/07/2015 – 14/10/2015 2015/1239 Responses	08/06/2016 2016/935	08/09/2016						
· Draft RTS on the common definitions, calculation methodologies and presentation formats of the costs	Mandatory (Art. 25(3))	09/09/2015	n/a	31/07/2015 – 14/10/2015 2015/1239 Responses	08/06/2016 2016/935	08/09/2016						
· Draft RTS on the types and characteristics of the facilities referred to in Article 26(1), their technical infrastructure and the content of their	Mandatory (Art. 26(2))	09/09/2015	n/a	31/07/2015 – 14/10/2015 2015/1239 Responses	08/06/2016 2016/935	08/09/2016						

Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories

[EMIR](#)

Draft TS of 27 September 2012

[OTC derivatives and clearing obligation](#)

· Draft RTS specifying the types of indirect contractual clearing	Mandatory	30/09/2012	16/02/2012 – 19/03/2012 2012/95	25/06/2012 – 05/08/2012 2012/379	27/09/2012 2012/600	27/12/2012			19/12/2012	19/02/2013	23/02/2013	15/03/2013
---	-----------	------------	--	---	--	------------	--	--	------------	------------	------------	------------

arrangements	(Art. 4(4))		Responses	Responses	Impact Assessment						(EU) No 149/2013	
· Draft RTS specifying the details to be included in the notification from the competent authorities to ESMA	Mandatory (Art. 5(1) subpara 2)	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the criteria to be assessed to determine if a class of derivatives should be subject to CCP clearing	Mandatory (Art. 5(4))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the details to be included in the public register on the classes of derivatives subject to the clearing obligation	Mandatory (Art. 6(4))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the concept of liquidity fragmentation	Mandatory (Art. 8(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying criteria for establishing which OTC derivative contracts are objectively reducing risks	Mandatory (Art. 10(4) (a))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying values of the clearing thresholds	Mandatory (Art. 10(4) (b))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the procedures and arrangements referred to in Art. 11(1) (timely confirmation, portfolio reconciliation, portfolio compression and dispute resolution)	Mandatory (Art. 11(14) (a))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the market conditions that prevent market-to-market and the criteria for using market-to-model	Mandatory (Art. 11(14) (b))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the details of the intragroup transaction notification to the competent authority	Mandatory (Art. 11(14) (c))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
· Draft RTS specifying the details of the intragroup transaction notification to ESMA and of the information to be publicly disclosed on exempted intragroup transactions	Mandatory (Art. 11(14) (d))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 149/2013	15/03/2013	
CCPs												
· 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	Mandatory (Art. 18(6))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012	31/01/2013	15/03/2013 2013/312	28/05/2013	28/08/2013	13/09/2013 (EU) No 876/2013	03/10/2013
· Draft RTS specifying the information that the applicant third country CCP shall provide ESMA in its application for recognition	Mandatory (Art. 25(8))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012			19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the minimum content of the rules and governance arrangements referred to in Art 26(1) to (8)	Mandatory (Art. 26(9))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012			19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013

· Draft RTS specifying the details of the records and information to be retained by CCPs	Mandatory (Art. 29(4))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft ITS to determine the format of the records and information to be retained by central counterparties	Mandatory (Art. 29(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	n/a	21/12/2012 (EU) No 1249/2012	10/01/2013
· Draft RTS specifying the minimum content and requirements of the business continuity policy and of the disaster recovery plan	Mandatory (Art. 34(3))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· 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	Mandatory (Art. 41(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· 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	Mandatory (Art. 42(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the framework for managing the CCPs' liquidity risk that a CCP shall withstand	Mandatory (Art. 44(2))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· 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	Mandatory (Art. 45(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the type of collateral that could be considered highly liquid, such as gold, government and high-quality corporate bonds, covered bonds	Mandatory (Art. 46(3) (a))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the haircuts referred to in Art 46(1)	Mandatory (Art. 46(3) (b))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the conditions under which commercial bank guarantees may be accepted as collateral	Mandatory (Art. 46(3) (c))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· 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	Mandatory (Art. 47(8))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the types of tests to be undertaken for different classes of financial instruments and portfolios	Mandatory (Art. 49(4) (a))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the involvement of clearing members or other parties in	Mandatory	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013

the tests	(Art. 49(4) (b))		Responses	Responses	Impact Assessment					(EU) No 153/2013	
· Draft RTS specifying the frequency of the tests	Mandatory (Art. 49(4) (c))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
· Draft RTS specifying the time horizons of the tests	Mandatory (Art. 49(4) (d))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 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	Mandatory (Art. 49(4) (e))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 153/2013	15/03/2013
Trade reporting											
· Draft RTS on the minimum details of the data to be reported to trade repositories	Mandatory (Art. 9(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 148/2013	15/03/2013
· Draft ITS determining the format and frequency of trade reports to trade repositories	Mandatory (Art. 9(6))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	n/a	21/12/2012 (EU) No 1247/2012	08/01/2013
· Draft RTS specifying the data to be published and made available by trade repositories and operational standards for aggregating, comparing and accessing the data	Mandatory (Art. 81(5))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 151/2013	15/03/2013
Draft technical standards on data to be made publicly available by TRs under Article 81 of EMIR	Mandatory (Art. 81(5))				10/07/2017 ESMA70-151-370	10/10/2017					
Trade repositories											
· Draft RTS specifying the details of the application for registration as a trade repository	Mandatory (Art. 56(3))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	19/02/2013	23/02/2013 (EU) No 150/2013	15/03/2013
· Draft ITS determining the format of applications for registration of trade repositories to ESMA	Mandatory (Art. 56(4))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	25/06/2012 – 05/08/2012 2012/379 Responses	27/09/2012 2012/600 Impact Assessment	27/12/2012		19/12/2012	n/a	21/12/2012 (EU) No 1248/2012	08/01/2013
Draft RTS on direct, substantial and foreseeable effect of contracts within the Union and to prevent the evasion of rules and obligations	Mandatory (Art. 4(4) and Art. 11(14) (e))	30/09/2012	16/02/2012 – 19/03/2012 2012/95 Responses	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 (EU) No 285/2014	10/04/2014
Draft RTS under the clearing obligation											
		(Within six months of	12/07/2013 – 12/09/2013 2013/925	17/07/2014 – 18/08/2014 2014/799	01/10/2014			06/03/2015		01/12/2015	

- Interest rate OTC derivatives in G4 currencies	Mandatory (Art. 5(2))	<i>monies of receiving notification in accordance with Art. 5(1) or accomplishing a procedure for recognition set out in Art. 25)</i>	Responses	Responses	2014/1184	02/01/2015		2015/511	06/08/2015	06/11/2015	(EU) 2015/2205	21/12/2015
- Credit default swaps	Mandatory (Art. 5(2))	<i>(Within six months of receiving notification in</i>	12/07/2013 – 12/09/2013 2013/925 Responses	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 (EU) 2016/592	09/05/2015
- Forex non-deliverable forwards	Mandatory (Art. 5(2))	<i>(Within six months of receiving notification in accordance with Art. 5(1) or accomplishing a procedure for recognition set out in Art. 25)</i>	12/07/2013 – 12/09/2013 2013/925 Responses	01/10/2014 – 06/11/2014 2014/1185 Responses Feedback Statement	n/a							
- Interest rate OTC derivatives in additional currencies	Mandatory (Art. 5(2))	<i>(Within six months of receiving notification in</i>	12/07/2013 – 12/09/2013 2013/925 Responses	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		
Draft RTS on margin requirements for non-centrally cleared derivatives	Mandatory (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	04/10/2016 C(2016) 6329			15/12/2016 (EU) 2016/2251	04/01/2017
- Review of RTS and ITS under paragraphs 5 and 6 of Article 9	n/a	n/a	n/a	10/11/2014 – 13/02/2015 2014/1352 Responses	13/11/2015 2015/1645	13/02/2016						
- Review of Article 26 of RTS No 153/2013 with respect to MPOR for client accounts	n/a	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 (EU) 2016/822	15/06/2016	
- Review of draft RTS on access to data and aggregation and comparison of data across TRs	n/a	n/a	n/a	11/12/2015 – 01/02/2015 2015/1866 Responses	05/04/2016 2016/422	05/07/2016						
- Review of RTS on indirect clearing arrangements	n/a	n/a	n/a	05/11/2015 – 17/12/2015 2015/1628 Responses	26/05/2016 2016/725	26/08/2016						
- Review of the draft RTS on the clearing obligation for financial counterparties with a limited volume of activity	n/a	n/a	n/a	13/07/2016 – 5/09/2016 2016/1125 Responses	14/11/2016 2016/1565	14/02/2017						
- Review of Draft RTS specifying the details of the			11/03/2016 – 22/04/2016	30/09/2016 – 30/11/2016	31/03/2017							

specifying the details of the application for registration as a trade repository	n/a	n/a	2016/356 Responses	2016/1409 Responses	ESMA70-708036281-82	30/06/2017						
- Review of Draft RTS on data to be made publicly available by TRs under Article 81	n/a	n/a	n/a	15/12/2016 – 15/02/2017 2016/1661 Responses	31/03/2017 ESMA70-708036281-82	30/06/2017						
Regulation (EU) No 346/2013 on European social entrepreneurship funds EuSEF Regulation												
Draft ITS with regard to the format of the notification	Mandatory (Art. 17(3))	16/02/2014	n/a	n/a	11/02/2014 2014/161	12/05/2014			03/06/2014	n/a	04/06/2014 (EU) No 594/2014	09/06/2014
Regulation (EU) No 345/2013 on European venture capital funds EuVECA Regulation												
Draft ITS with regard to the format of the notification	Mandatory (Art. 16(3))	16/02/2014	n/a	n/a	11/02/2014 2014/160	12/05/2014			03/06/2014	n/a	04/06/2014 (EU) No 593/2014	09/06/2014
Directive 2002/87/EC on the supplementary supervision of credit institutions, insurance undertakings and investment firms in a financial conglomerate Financial conglomerates directive												
Draft RTS on risk concentration and intra-group transactions	Mandatory (Art. 21a(1a))	01/01/2015	n/a	24/07/2014 – 24/10/2014 JC/CP/2014/04 Responses	18/12/2014 JC/2014/092	18/03/2015			28/07/2015	28/08/2015	11/12/2015 (EU) 2015/2303	31/12/2015
Regulation (EU) No 596/2014 on market abuse (market abuse regulation) MAR												
Draft RTS on the Market Abuse Regulation												
- Draft RTS for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications	Mandatory (Art. 4(4))	03/07/2015	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			01/03/2016 C(2016) 1224	01/04/2016	10/06/2016 (EU) 2016/909	30/06/2016
- Draft ITS with regard to the timing, format and template of the submission of notification to competent authorities	Mandatory (Art. 4(5))	03/07/2015	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			11/03/2016	n/a	17/03/2016 (EU) 2016/378	21/03/2016
- Draft RTS for the conditions that buy-back programmes and stabilisation measures must meet	Mandatory (Art. 5(6))	03/07/2015	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			08/03/2016 C(2016) 1357	08/04/2016	30/06/2016 (EU) 2016/1052	01/07/2016
- Draft RTS on the appropriate arrangements, systems and procedures for disclosing market participants conducting market soundings	Mandatory (Art. 11(9))	03/07/2015	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			17/05/2016 C(2016) 2859	17/06/2016	17/06/2016 (EU) 2016/960	20/06/2016
- Draft ITS on systems and notification templates to be used by disclosing market participants conducting market soundings	Mandatory (Art. 11(10))	03/07/2015	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			17/05/2016 C(2016) 2854	n/a	17/06/2016 (EU) 2016/959	20/06/2016
- Draft RTS on criteria, procedure and requirements for establishing an accepted market practice and the requirements for maintaining it, terminating it or modifying the conditions for its acceptance	Mandatory (Art. 13(7))	03/07/2015	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			26/02/2016 C(2016) 1087	28/03/2016	10/06/2016 (EU) 2016/908	11/06/2016
- Draft RTS on the appropriate arrangements, systems and procedures as well as notification templates to be used for reporting, detecting and	Mandatory (Art. 16(5))	03/07/2016	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			09/03/2016 C(2016) 1402	11/04/2016	17/06/2016 (EU) 2016/957	20/06/2016

used for preventing, detecting and reporting abusive practices or suspicious			Responses	Responses	2015/1455			2015/1455		2016/982		(EU) 2016/1055	
· Draft ITS on the technical means for appropriate public disclosure of inside information and for delaying the public disclosure of inside information	Mandatory (Art. 17(10))	03/07/2016	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	25/05/2016 ESMA- C3/TL/alf(2016)- 3009898	17/06/2016 2016/982	29/06/2016	n/a		30/06/2016 (EU) 2016/1055	01/07/2016
· Draft ITS on the format of the insider lists and format for updating the insider lists	Mandatory (Art. 18(9))	03/07/2016	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			10/03/2016	n/a		11/03/2016 (EU) 2016/347	14/03/2016
· Draft ITS on the format and template for notification and public disclosure of managers' transactions	Mandatory (Art. 19(15))	03/07/2015	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			10/03/2016	n/a		05/04/2016 (EU) 2016/523	06/04/2016
· Draft RTS on arrangements for objective presentation of investment recommendations or other information recommending or suggesting an investment strategy and for disclosure	Mandatory (Art. 20(3))	03/07/2015	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			09/03/2016	11/04/2016		17/06/2016 (EU) 2016/958	20/06/2016
Draft ITS on the determination of the procedures and forms for exchange of information for the purposes of the exercise of the delegation	Mandatory (Art. 24(3))	03/07/2016	n/a	n/a									
Draft ITS on cooperation between ESMA, competent authorities (CAs), ACER and energy national regulatory authorities as well as between CAs and national/third country regulatory authorities of the spot commodity	Mandatory (Art. 25(9))	03/07/2016	n/a	n/a									
Draft RTS on the template document for co-operation arrangements between competent authorities and authorities in third countries	Mandatory (Art. 26(2))	03/07/2015	n/a	n/a									
Draft ITS on sanctions and measures	Mandatory (Art. 33(5))	03/07/2016	n/a	n/a	26/07/2016 2016/1171 Letter to EC	26/10/2016							
Draft ITS on forms and procedures for cooperation between competent authorities	Mandatory (Art. 25(9))	03/07/2016	n/a	n/a	30/05/2017 ESMA70-145-100	30/08/2017							
Directive 2004/39/EC on markets in financial instruments													
MiFID													
Draft RTS under Article 10a(8) of MiFID I on the assessment of acquisitions and increases in qualifying holdings in investment firms													
· Draft RTS on information requirements for assessment of acquisitions and increases in holdings in investment firms	Mandatory (Art. 10a(8) subpara 1)	01/01/2014	n/a	08/07/2013 – 09/09/2013 2013/918 Responses	17/12/2013 2013/1940 23/03/2015 2015/613 (amendment)	23/06/2015			Work in progress				
· 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	Mandatory (Art. 10a(8) subpara 4)	01/01/2014	n/a	08/07/2013 – 09/09/2013 2013/918 Responses	17/12/2013 2013/1940 23/03/2015 2015/613 (amendment)	23/06/2015			Work in progress				
Directive 2014/65/EU on markets in financial instruments													
MiFID II													
Regulation (EU) No 600/2014 on markets in financial instruments													
MiFIR													

Draft TS on authorisation, passporting, registration of third country firms and cooperation between competent authorities												
· Draft RTS on information and requirements for the authorisation of investment firms	Mandatory (Art. 7(4) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015			14/07/2016 C(2016) 4417	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised	
· Draft ITS with regard to notifications by and to applicant and authorised investment firms according to Directive 2014/65/EU of the European	Mandatory (Art. 7(5) MiFID II)	03/01/2016	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015						
· Draft RTS specifying information to be notified by investment firms, market operators and credit institutions	Mandatory (Art. 34(8) subpara 3 MiFID II and Art. 35(11) subpara 3 MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015			29/06/2016 C(2016) 3917	29/09/2016	Publication in the OJ on hold until Corrigendum is finalised	
· Draft ITS with regard to standard forms, templates and procedures for the transmission of information in accordance with Directive 2014/65/EU	Mandatory (Art. 34(9) and 35(12) MiFID II)	31/12/2016 and 03/01/2016 respectively	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015						
· Draft RTS on the information for registration of third country firms and the format of information to be provided to the clients	Mandatory (Art. 46(7) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015			14/07/2016 C(2016) 4407	14/10/2016	19/11/2016 (EU) 2016/2022	09/12/2016
· Draft RTS on the exchange of information between competent authorities when cooperating in supervisory activities, on-the-spot verifications and investigations	Mandatory (Art. 80(3) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	29/06/2015 2015/1006	29/09/2015			14/07/2016 C(2016) 4415	14/10/2016	31/03/2017 (EU) 2017/586	20/04/2017

Draft RTS and ITS under MiFID II / MiFIR of 28 September 2015

Transparency

· Draft RTS on transparency requirements for trading venues and investment firms in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments and the obligation for investment firms to execute	Mandatory (Art. 4(6), 7(2), 14(7), 20(3), 22(4) and 23(3) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			14/07/2016 C(2016) 4390 Annexes 1-3	14/10/2016	31/03/2017 (EU) 2017/587	20/04/2017
· Draft RTS on transparency requirements in respect of bonds, structured finance products, emission allowances and derivatives (RTS 2)	Mandatory (Art. 1(8), 9(5), 11(4), 21(5) and 22(4) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	18/02/2015 – 20/03/2015 2015/319 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	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 Annexes 1-4	14/10/2016	31/03/2017 (EU) 2017/583	20/04/2017
· Draft RTS on the volume cap mechanism and the provision of information for the purposes of transparency and other calculations (RTS 3)	Mandatory (Art. 5(9) and 22(4) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			13/06/2016 C(2016) 2711 Annex 1	13/09/2016	31/03/2017 (EU) 2017/577	20/04/2017
· Draft RTS on criteria for determining whether derivatives should be subject to the trading obligation (RTS 4)	Mandatory (Art. 32(6) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS)	28/12/2015			26/05/2016	26/08/2016	19/11/2016	09/12/2016

· Draft RTS on criteria for determining whether derivatives have a direct, substantial and foreseeable effect within the EU (RTS 5)	Mandatory (Art. 28(5) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			C(2016) 2710		(EU) 2016/2020	
Market microstructure												
· 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)	Mandatory (Art. 17(7) (a) and (d) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			19/07/2016 C(2016) 4478 Annexes 1-2	22/11/2016	31/03/2017 (EU) 2017/589	20/04/2017
· 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)	Mandatory (Art. 48(12) (a), (c) and (g) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			14/07/2016 C(2016) 4387 Annex	14/10/2016	31/03/2017 (EU) 2017/584	20/04/2017
· Draft RTS on market making agreements and market making schemes (RTS 8)	Mandatory (Art. 17(7) (a), (b) and (c) and 48(12) (a) and (f) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			13/06/2016 C(2016) 3523	13/09/2016	31/03/2017 (EU) 2017/578	20/04/2017
· Draft RTS on the ratio of unexecuted orders to transactions (RTS 9)	Mandatory (Art. 48(12) (b) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			18/05/2016 C(2016) 2775 Annex	18/08/2016	31/03/2017 (EU) 2017/566	20/04/2017
· Draft RTS on requirements to ensure co-location and fee structures are fair and non-discriminatory (RTS 10)	Mandatory (Art. 48(12) (d) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			06/06/2016 C(2016) 3266	06/09/2016	31/03/2017 (EU) 2017/573	20/04/2017
· Draft RTS on the tick size regime for shares, depositary receipts and exchange traded funds (RTS 11)	Mandatory (Art. 49(3) and (4) MiFID II)	03/07/2015 and 03/01/2016 respectively	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			14/07/2016 C(2016) 4389 Annex	14/10/2016	31/03/2017 (EU) 2017/588	20/04/2017
· Draft RTS on the determination of a material market in terms of liquidity relating to trading halt notifications (RTS 12)	Mandatory (Art. 48(12) (e) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			26/05/2016 C(2016) 3020	26/08/2016	31/03/2017 (EU) 2017/570	20/04/2017
Data publication and access												
· Draft RTS on authorisation, organisational requirements and the publication of transactions for data reporting services providers (RTS 13)	Mandatory (Art. 61(4), 64(6), 64(8), 65(6), 65(8), and 66(5) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			02/06/2016 C(2016) 3201	02/09/2016	31/03/2017 (EU) 2017/571	20/04/2017

· Draft RTS on data disaggregation (RTS 14)	Mandatory (Art. 12(2) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			02/06/2016 C(2016) 3206	04/07/2016	31/03/2017 (EU) 2017/572	20/04/2017
· Draft RTS on access in respect of central counterparties and trading venues (RTS 15)	Mandatory (Art. 35(6) and 36(6) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II	28/12/2015			24/06/2016 C(2016) 3807 Annex	24/07/2016	31/03/2017 (EU) 2017/581	20/04/2017
· Draft RTS on access in respect of benchmarks (RTS 16)	Mandatory (Art. 37(4) (a), (b), and (c) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			02/06/2016 C(2016) 3203	04/07/2016	19/11/2016 (EU) 2016/2021	09/11/2016
<u>Requirements applying on and to trading venues</u>												
· Draft RTS on the admission of financial instruments to trading on regulated markets (RTS 17)	Mandatory (Art. 51(6) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			24/05/2016 C(2016) 3017	24/08/2016	31/03/2017 (EU) 2017/568	20/04/2017
· Draft RTS on suspension and removal of financial instruments from trading (RTS 18)	Mandatory (Art. 32(2) subpara 10 and 52(2) subpara 10 MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			24/05/2016 C(2016) 3014	24/08/2016	31/03/2017 (EU) 2017/569	20/04/2017
· Draft ITS on the description of the functioning of MTFs and OTFs (ITS 19)	Mandatory (Art. 18(11) subpara 3 MiFID II)	03/01/2016	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			24/05/2016 C(2016) 3019	n/a	26/05/2016 (EU) 2016/824	15/06/2016
<u>Commodity derivatives</u>												
· Draft RTS on criteria for establishing when an activity is to be considered to be ancillary to the main business (RTS 20)	Mandatory (Art. 2(4) MiFID)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015	14/03/2016 FISMA C3/TL/alf(2016)23/68644	30/05/2016 2016/730 Annex (Amended)	01/12/2016 C(2016) 7643	01/03/2017	31/03/2017 (EU) 2017/592	20/04/2017
· Draft RTS for the application of position limits to commodity derivatives (RTS 21)	Mandatory (Art. 57(3) and 57(12) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015	14/03/2016 FISMA C3/TL/alf(2016)23/68644	02/05/2016 2016/668 Annex (Amended)	01/12/2016 C(2016) 4362	01/03/2017	31/03/2017 (EU) 2017/591	20/04/2017
<u>Market data reporting</u>												
· Draft RTS for the reporting of transactions to competent authorities (RTS 22)	Mandatory (Art. 26(9) subpara 3 MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			XXX [...] (2016) XXX Annex 1-2	22/11/2016	31/03/2017 (EU) 2017/590	20/04/2017
			22/05/2014 – 01/08/2014	19/12/2014 – 02/03/2015	28/09/2015				14/07/2016		31/03/2017	

· Draft RTS on supply of financial instruments reference data under Article 27 of MiFIR (RTS 23)	Mandatory (Art. 27(3) subpara 3 MiFIR)	03/07/2015	2014/548 Responses	2014/1570 Responses	2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			C(2016) 4405 Annex	14/10/2016	(EU) 2017/585	20/04/2017
· Draft RTS on the maintenance of relevant data relating to orders in financial instruments (RTS 24)	Mandatory (Art. 25(3) subpara 4 MiFIR)	03/07/2015	2014/548 Responses	2014/1570 Responses	2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			24/06/2016 C(2016) 3821 Annex	26/09/2016	31/03/2017 (EU) 2017/580	20/04/2017
· Draft RTS on clock synchronization (RTS 25)	Mandatory (Art. 50(2) subpara 3 MiFID II)	03/07/2015	2014/548 Responses	2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			07/06/2016 C(2016) 3316 Annex	07/09/2016	31/03/2017 (EU) 2017/574	20/04/2017
Post-trading												
· Draft RTS on the obligation to clear derivatives traded on regulated markets and timing of acceptance for clearing (STP) (RTS 26)	Mandatory (Art. 29(3) MiFIR)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			29/06/2016 C(2016) 3944	29/09/2016	31/03/2017 (EU) 2017/582	20/04/2017
Investor protection												
· Draft RTS the data to be published by execution venues on the quality of execution of transactions (RTS 27)	Mandatory (Art 27(10) (a) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			08/06/2016 C(2016) 3333 Annex	08/09/2016	31/03/2017 (EU) 2017/575	20/04/2017
· Draft RTS for the annual publication by investment firms of information on the identity of execution venues and on the quality of execution (RTS 28)	Mandatory (Art 27(10) (b) MiFID II)	03/07/2015	22/05/2014 – 01/08/2014 2014/548 Responses	19/12/2014 – 02/03/2015 2014/1570 Responses	28/09/2015 2015/1464 Annex I (draft TS) Annex II (Impact Assessment)	28/12/2015			08/06/2016 C(2016) 3337 Annexes 1-2	08/09/2016	31/03/2017 (EU) 2017/576	20/04/2017
Draft ITS under MiFID II of 11 December 2015												
· 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	Mandatory (Art. 52(3))	03/07/2015	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
· Position reporting	Mandatory (Art. 58(5))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
· Format and timing of weekly position reports	Mandatory (Art. 58(7))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
· Standard forms, templates and procedures for the authorisation of data reporting services providers and related notifications	Mandatory (Art. 61(5))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						

· Procedures and forms for submitting information on sanctions and measures	Mandatory (Art. 71(7))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	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	Mandatory (Art. 79(9))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
· Standard forms, templates and procedures for competent authorities to cooperate in supervisory activities, on-site verifications, and investigations and	Mandatory (Art. 80(4) and 81(4))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
· Standard forms, templates and procedures for the consultation of other competent authorities prior to granting an authorisation	Mandatory (Art. 84(4))	03/01/2016	22/05/2014 – 01/08/2014 2014/548	31/08/2015 – 31/10/2015 2015/1301 Responses	11/12/2015 2015/1858	11/02/2016						
Draft RTS on indirect clearing arrangements under MiFIR	Mandatory (Art. 30)	03/07/2015	n/a	05/11/2015 – 17/12/2015 2015/1628 Responses	26/05/2016 2016/725	26/08/2016						
Draft RTS on the trading obligation for derivatives under MiFIR	Mandatory (Art. 32(1))	<i>(Within 6 months after the adoption of the RTS in</i>	20/09/2016 – 21/11/2016 2016/1389 Responses	19/06/2017 – 31/07/2017 ESMA70-156-71 Responses	28/09/2017 ESMA70-156-227	03/01/2018						
Draft RTS specifying the scope of the consolidated tape for non-equity financial instruments	Mandatory (Art. 65(8) (c) MiFID II)	03/07/2015	n/a	03/10/2016 – 05/12/2016 2016/1422 Responses	31/03/2017 2017/70-8792942901-40	30/06/2017						
Draft RTS on package orders for which there is a liquid market	Mandatory (Art. 9(6) MiFIR)	28/02/2017	n/a	10/11/2016 – 03/01/2017 2016/1562 Responses	27/02/2017 70-872942901-21	29/05/2017						
Regulation (EU) No 1286/2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs)												
PRIIPs Regulation												
Draft RTS on Key Information Documents (KIDs)	Mandatory (Art. 8(5), 10(2) and 13(5))	31/03/2015 (Art 8(5)) 31/12/2015 (Art 10(2) and 13(5))	17/11/2014 – 17/02/2015 JC/DP/2014/02 (general) Responses 23/06/2015 – 17/08/2015 JC/DP/2015/01 (technical) Responses	11/11/2015 – 29/01/2016 JC/CP/2015/073 Responses	31/03/2016 JC/2016/21	30/06/2016	09/11/2016 COM(2016) 709	JC letter ESAs 2016 81	30/06/2016 C(2016) 3999 Annexes 1-7	30/07/2016		
Directive 2003/71/EC on the prospectus to be published when securities are offered to the public or admitted to trading												
Prospectus Directive												
Draft RTS on specific situations that require the publication of a supplement to the prospectus	Mandatory (Art. 16(3))	01/01/2014	n/a	15/03/2013 – 13/06/2013 2013/316 Responses	17/12/2013 2013/1970	17/02/2014			07/03/2014	07/04/2014	15/04/2014 (EU) 382/2014	05/05/2014
Draft RTS on prospectus related issues under the Omnibus II Directive												
· Incorporation by reference	Mandatory (Art. 11(3))	01/07/2015	n/a	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 (EU) 2016/301	24/03/2016
· Approval of prospectuses	Mandatory (Art. 13(7))	01/07/2015	n/a	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 (EU) 2016/301	24/03/2016
· Publication of prospectuses	Mandatory (Art. 14(8))	01/07/2015	n/a	25/09/2015 – 19/12/2015 2014/1186	25/06/2015 2015/1014	25/09/2015			30/11/2015 C(2015) 8379	30/12/2015	04/03/2016 (EU) 2016/301	24/03/2016

				Responses	2012/1017				2012/977		EU/2016/301	
· Advertisements	Mandatory (Art. 15(7))	01/07/2015	n/a	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 (EU) 2016/301	24/03/2016

Regulation (EU) 2015/2365 on transparency of securities financing transactions and of reuse
[SFTR](#)

Technical standards under SFTR and certain amendments to EMIR

· Draft RTS the details of reports to be reported to trade repositories	Mandatory (Art. 4(9))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft ITS on the format and frequency of the reports to TRs or ESMA	Mandatory (Art. 4(10))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft RTS specifying the operational standards for data collection by trade repositories and aggregation and comparison of data across repositories and the details of aggregate positions to	Mandatory (Art. 5(7) (a) and Art. 12(3)(a-b))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft RTS on registration and extension of registration of TRs under Regulation 2015/2365	Mandatory (Art. 5(7) (a))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft ITS on the format of applications for registration of trade repositories according to Regulation (EU) 2015/2365	Mandatory (Art. 5(8))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft RTS specifying the details of information to which, and the terms on conditions under which, entities should have access	Mandatory (Art. 12(3) (c) and (d))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						
· Draft ITS on the procedures and forms for exchange of information on sanctions, measures and investigations under Article 25(1) and (2) of	Mandatory (Art. 25(4))	13/01/2017	11/03/2016 – 22/04/2016 2016/356 Responses	30/09/2016 – 30/11/2016 2016/1409 Responses	30/03/2017 ESMA70-708036281-82	30/06/2017						

Regulation (EU) No 236/2012 on short selling and certain aspects of credit default swaps
[SSR](#)

Draft RTS and ITS of 28 March 2012

· Details of the information to be provided for the purpose of notification or disclosure on net short positions	Mandatory (Art. 9(5))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	30/07/2012	18/09/2012 (EU) No 826/2012	19/09/2012
· Means by which the information on net short positions in shares may be disclosed to the public	Mandatory (Art. 9(6))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	n/a	18/09/2012 (EU) No 827/2012	19/09/2012
· Details of the information to be provided to ESMA (summary information on net short positions in shares, data on investment CDS, etc.)	Mandatory (Art. 11(3))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	30/07/2012	18/09/2012 (EU) No 826/2012	19/09/2012

shares, debt and uncovered CDS to be provided on quarterly basis and				Responses	2012/220					EU/No 826/2012		
· 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	Mandatory (Art. 11(4))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	n/a	18/09/2012 (EU) No 827/2012	19/09/2012
· Types of agreements, arrangements and measures that adequately ensure that the share will be available for settlement	Mandatory (Art. 12(2))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	n/a	18/09/2012 (EU) No 827/2012	19/09/2012
· Types of agreements or arrangements that adequately ensure that the sovereign debt will be available for settlement	Discretionary (Art. 13(5))	n/a	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	n/a	18/09/2012 (EU) No 827/2012	19/09/2012
· Method for calculation of the turnover to determine the principal venue for the trading of a share	Mandatory (Art. 16(3))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	30/07/2012	18/09/2012 (EU) No 826/2012	19/09/2012
· 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	Mandatory (Art. 16(4))	31/03/2012	n/a	24/01/2012 – 13/02/2012 2012/30 Responses	28/03/2012 2012/228	28/06/2012			29/06/2012	n/a	18/09/2012 (EU) No 827/2012	19/09/2012
Draft RTS on the method of calculation of the 10 % fall for liquid shares and of the fall in value for financial instruments other than liquid shares	Mandatory (Art. 23(8))	31/03/2012	n/a	15/02/2012 – 09/03/2012 2012/98 Responses	19/04/2012 2012/263	19/07/2012			05/07/2012	06/08/2012	09/10/2012 (EU) No 919/2012	10/10/2012
Directive 2004/109/EC on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market												
Transparency Directive												
Draft RTS on major shareholdings and an indicative list of financial instruments subject to notification requirements												
· Calculation method of the 5 % threshold referred to in the Article 9(5) and (6) exemptions	Mandatory (Art. 9(6b))	27/11/2014	n/a	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 (EU) 2015/761	02/06/2015
· 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	Mandatory (Art. 13(1a) subpara 2 (a))	27/11/2014	n/a	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 (EU) 2015/761	02/06/2015
· Methods of determining delta for the purposes of calculating voting rights relating to financial instruments which provide exclusively for a cash	Mandatory (Art. 13(1a) subpara 2 (b))	27/11/2014	n/a	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 (EU) 2015/761	02/06/2015
· Client-serving transactions	Mandatory (Art. 13(4) subpara 2)	27/11/2014	n/a	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 (EU) 2015/761	02/06/2015
Draft RTS on the European Electronic Access Point (EEAP)	Mandatory (Art. 22(1))	27/11/2015	n/a	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	31/08/2016 (EU) 2016/1437	20/09/2016
	Mandatory			25/09/2015 – 24/12/2015								

Draft RTS on the electronic reporting format	(Art. 4(7) subpara 2)	31/12/2016	n/a	2015/1463 Responses								
Directive 2009/65/EC on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS)												
UCITS Directive												
Draft ITS on penalties and measures	Mandatory (Art. 99e(3))	18/09/2015	n/a	n/a	18/09/2015 2015/1409	18/12/2015			25/07/2016		26/07/2016 (EU) 2016/1212	15/08/2016
Regulation (EU) 2017/XX on money market funds												
MMF Regulation												
Draft ITS under the MMF Regulation	Mandatory (Art. 37(4))	Six months after the date of entry into force of this Regulation	n/a	24/05/2017 – 07/08/2017 ESMA-34-49-82								