

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

(last updated: 01/02/2017)

	RTS/ITS	Legal Basis	Adoption by the European Commission	Acts as adopted by the Commission English version	Acts as adopted by the Commission German version	Acts as adopted by the Commission French version	End of EP/Council scrutiny	Published in the Official Journal
RTS 1	Transparency requirements for trading venues and investment firms in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments	MiFIR Articles 4(6), 7(2), 14(7), 20(3), 22(4) and 23(3)	14/07/2016 C(2016) 4390	RTS 1 in English	RTS 1 in German	RTS 1 in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 1 in English	Annex to RTS 1 in German	Annex to RTS 1 in French		
RTS 2	Transparency requirements for trading venues and investment firms in respect of bonds, structured finance products, emission allowances and derivatives	MiFIR Articles 1(8), 9(5), 11(4), 21(5) and 22(4)	14/07/2016 C(2016) 4301	RTS 2 in English	RTS 2 in German	RTS 2 in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 2 in English	Annex to RTS 2 in German	Annex to RTS 2 in French		
RTS 3	The volume cap mechanism and the provision of information for the purposes of transparency and other calculations	MiFIR Articles 5(9) and 22(4)	13/06/2016 C(2016) 2711	RTS 3 in English	RTS 3 in German	RTS 3 in French	13/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 3 in English	Annex to RTS 3 in German	Annex to RTS 3 in French		
RTS 4	Criteria for determining whether derivatives subject to the clearing obligation should be subject to the trading obligation	MiFIR Article 32(6)	26/05/2016 C(2016) 2710	RTS 4 in English	RTS 4 in German	RTS 4 in French	26/08/2016	OJ L 313, 19.11.2016, p. 11–13
RTS 5	Direct, substantial and foreseeable effect of derivative contracts within the Union	MiFIR Article 28(5)	13/06/2016 C(2016) 3544	RTS 5 in English	RTS 5 in German	RTS 5 in French	13/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 6	Specifying the organisational requirements of investment firms engaged in algorithmic trading	MiFID II Article 17(7)(a) and (d)	19/07/2016 C(2016) 4478	RTS 6 in English	RTS 6 in German	RTS 6 in French	22/11/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 6 in English	Annex to RTS 6 in German	Annex to RTS 6 in French		
RTS 7	Specifying organisational requirements of facilities trading venues allowances and derivatives	MiFID II Article 48(12)(a),(c) and (g)	14/07/2016 C(2016) 4387	RTS 7 in English	RTS 7 in German	RTS 7 in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 7 in English	Annex to RTS 7 in German	Annex to RTS 7 in French		

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RTS 8	Specifying the requirements on market making agreements and schemes	MiFID II Article 17(7)(a), (b) and (c) and Article 48(12)(a) and (f)	13/06/2016 C(2016) 3523	RTS 8 in English	RTS 8 in German	RTS 8 in French	13/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 9	The ratio of unexecuted orders to transactions	MiFID II Article 48(12)(b)	18/05/2016 C(2016) 2775	RTS 9 in English	RTS 9 in German	RTS 9 in French	18/08/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 9 in English	Annex to RTS 9 in German	Annex to RTS 9 in French		
RTS 10	Requirements to ensure fair and non-discriminatory co-location services and fee structures	MiFID II Article 48(12)(d)	06/06/2016 C(2016) 3266	RTS 10 in English	RTS 10 in German	RTS 10 in French	06/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 11	Tick size regime for shares, depositary receipts and, exchange traded funds	MiFID II Article 49(3) and (4)	14/07/2016 C(2016) 4389	RTS 11 in English	RTS 11 in German	RTS 11 in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 11 in English	Annex to RTS 11 in German	Annex to RTS 11 in French		
RTS 12	Determination of a material market in terms of liquidity relating to halt notifications	MiFID II Article 48(12)(e)	26/05/2016 C(2016) 3020	RTS 12 in English	RTS 12 in German	RTS 12 in French	26/08/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 13	Authorization, organisational requirements and the publication of transactions for data reporting services providers	MiFID II Articles 61(4), 64(6), (8), 65(6), (8), and 66(5)	02/06/2016 C(2016) 3201	RTS 13 in English	RTS 13 in German	RTS 13 in French	02/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 14	Specification of the offering of pre-and post-trade data and the level of disaggregation of data	MiFIR Article 12(2)	02/06/2016 C(2016) 3206	RTS 14 in English	RTS 14 in German	RTS 14 in French	02/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 15	Clearing access in respect of trading venues and central counterparties	MiFIR Articles 35(6) and 36(6)	24/06/2016 C(2016) 3807	RTS 15 in English	RTS 15 in German	RTS 15 in French	26/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 15 in English	Annex to RTS 15 in German	Annex to RTS 15 in French		

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RTS 16	Access in respect of benchmarks	MiFIR Article 37(4) (a), (b), and (c)	02/06/2016 C(2016) 3203	RTS 16 in English	RTS 16 in German	RTS 16 in French	02/09/2016	OJ L 313, 19.11.2016, p. 6–10.
RTS 17	Admission of financial instruments to trading on regulated markets	MiFIR 3rd subpara Article 51(6)	24/05/2016 C(2016) 3017	RTS 17 in English	RTS 17 in German	RTS 17 in French	24/08/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 18	Suspension and removal of financial instruments from trading reporting services providers	MiFID II 10th subpara of Article 32(2) and the 10th subpara of Article 52(2)	24/05/2016 C(2016) 3014	RTS 18 in English	RTS 18 in German	RTS 18 in French	24/08/2016	Publication in the OJ on hold until Corrigendum is finalised
ITS 19	Description of the functioning of MTFs and OTFs	MiFID II 3rd subpara of Article 18(11)	24/05/2016 C(2016) 3019				N/A	ITS 19 in the Official Journal
RTS 20	Criteria to establish when an activity is considered to be ancillary to the main business	MiFID II Article 2(4)	1/12/2016 C(2016) 7643	RTS 20 in English	RTS 20 in German	RTS 20 in French	01/03/2017	
RTS 21	Application of position limits to commodity derivatives	MiFID II Article 57(3) and (12)	1/12/2016 C(2016) 4362	RTS 21 in English	RTS 21 in German	RTS 21 in French	01/03/2017	
RTS 22	Reporting of transactions to competent authorities	MiFIR 3rd subpara of Article 26(9)	28/07/16	RTS 22 in English	RTS 22 in German	RTS 22 in French	22/11/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 22 in English	Annex to RTS 22 in German	Annex to RTS 22 in French		
RTS 23	Supply of financial instruments reference data	MiFIR the 3rd subpara of Article 27(3)	14/07/2016 C(2016) 4405	RTS 23 in English	RTS 23 in German	RTS 23 in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 23 in English	Annex to RTS 23 in German	Annex to RTS 23 in French		
RTS 24	Maintenance of relevant data relating to orders in financial instruments	MiFIR 4th subpara of Article 25(3)	24/06/2016 C(2016) 3821	RTS 24 in English	RTS 24 in German	RTS 24 in French	26/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 24 in English	Annex to RTS 24 in German	Annex to RTS 24 in French		

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RTS 25	Level of accuracy of business clocks	MiFID II 3rd subpara of Article 50(2)	07/06/2016 C(2016) 3316	RTS 25 in English	RTS 25 in German	RTS 25 in French	07/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 25 in English	Annex to RTS 25 in German	Annex to RTS 25 in French		
RTS 26	Specifying the obligation to clear derivatives traded on regulated markets and timing of acceptance for clearing (STP)	MiFIR Article 29(3)	29/06/2016 C(2016) 3944	RTS 26 in English	RTS 26 in German	RTS 26 in French	29/09/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS 27	Data to be provided by execution venues on the quality of execution of transactions	MiFID II point (a) of the 1st subpara of Article 27(10)	08/06/2016 C(2016) 3333/4	RTS 27 in English	RTS 27 in German	RTS 27 in French	08/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 27 in English	Annex to RTS 27 in German	Annex to RTS 27 in French		
RTS 28	Annual publication by investment firms of information on the identity of execution venues and on the quality of execution	MiFID II point (b) of the 1st subpara of Article 27(10)	08/07/2016 C(2016) 3337/3	RTS 28 in English	RTS 28 in German	RTS 28 in French	08/09/2016	Publication in the OJ on hold until Corrigendum is finalised
				Annex to RTS 28 in English	Annex to RTS 28 in German	Annex to RTS 28 in French		

RTS	Authorisation	MiFID II Article 7(4)	14/07/2016 C(2016) 4417	RTS on authorisation in English	RTS on authorisation in German	RTS on authorisation in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
ITS	Authorisation	MiFID II 3rd subpara of Article 7(5)						
RTS	Passporting	MiFID II 3rd subpara of Articles 34(8) and the 3rd subpara of Article 35(11)	29/06/2016 C(2016) 3917	RTS on passporting in English	RTS on passporting in German	RTS on passporting in French	29/09/2016	Publication in the OJ on hold until Corrigendum is finalised
ITS	Passporting	MiFID II Articles 34(9) and 35(12)						
RTS	Cooperation between authorities	MiFIR Article 46(7)	14/07/2016 C(2016) 4415	RTS on cooperation between authorities in English	RTS on cooperation between authorities in German	RTS cooperation between authorities in French	14/10/2016	Publication in the OJ on hold until Corrigendum is finalised
RTS	Registration of third country firms	MiFID II Article 80(3)	14/07/2016 C(2016) 4407	RTS on registration of third country firms in English	RTS on registration of third country in German	RTS on registration of third country firms in French	14/10/2016	OJ L 313, 19.11.2016, p. 6–10

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RTS	An exhaustive list of information to be included by proposed acquirers in the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article 10(a)(8)						
ITS	Standard forms, templates and procedures for the consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article						
ITS 1	Standard forms, templates and procedures for cooperation arrangements	MiFID II Article 79(9)						
ITS 2	Suspension and removal of financial instruments from trading on RM, a MTF or OTF	MiFID II Articles 32(3) and 52(3)						
ITS 3	Standard forms, templates and procedures for the authorisation of data reporting services providers	MiFID II Article 61(5)						
ITS 4	Position reporting	MiFID II Article 58(5)						
ITS 5	Format and timing of weekly position reports	MiFID II Article 58(7)						
ITS 6	Standard forms, templates and procedures for competent authorities to cooperate in supervisory activities, on-site verifications, and investigations and for the exchange of information	MiFID II Articles 80(4) and 81(4)						
ITS 7	Standard forms, templates and procedures for the consultation of other competent authorities prior to granting an autorisation	MiFID II Article 84(4)						
ITS 8	Procedures and forms for submitting information on sanctions and measures	MiFID II Article 71(7)						