

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

(last updated: 07/04/2017)

	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 OJ 2017/587					RTS published in OJ
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 OJ 2017/583					RTS published in OJ
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 OJ 2017/577					RTS published in OJ
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 OJ 2016/2020					RTS published in OJ
RTS 5	Direct, substantial and foreseeable effect of derivative contracts within the Union	MiFIR Article 28(5)	13/06/2016 OJ 2017/579					RTS published in OJ
RTS 6	Specifying the organisational requirements of investment firms engaged in algorithmic trading	MiFID II Article 17(7)(a) and (d)	19/07/2016 OJ 2017/589					RTS published in OJ
RTS 7	Specifying organisational requirements of trading venues	MiFID II Article 48(12)(a),(c) and (g)	14/07/2016 OJ 2017/584					RTS published in OJ
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 OJ 2017/578					RTS published in OJ
RTS 9	The ratio of unexecuted orders to transactions	MiFID II Article 48(12)(b)	18/05/2016 OJ 2017/566					RTS published in OJ
RTS 10	Requirements to ensure fair and non-discriminatory co-location services and fee structures	MiFID II Article 48(12)(d)	06/06/2016 OJ 2017/573					RTS published in OJ

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RTS 11	Tick size regime for shares, depositary receipts and, exchange traded funds	MiFID II Article 49(3) and (4)	14/07/2016 OJ 2017/588					RTS published in OJ
RTS 12	Determination of a material market in terms of liquidity relating to halt notifications	MiFID II Article 48(12)(e)	26/05/2016 OJ 2017/570					RTS published in OJ
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 OJ 2017/571					RTS published in OJ
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 OJ 2017/572					RTS published in OJ
RTS 15	Clearing access in respect of trading venues and central counterparties	MiFIR Articles 35(6) and 36(6)	24/06/2016 OJ 2017/581					RTS published in OJ
RTS 16	Access in respect of benchmarks	MiFIR Article 37(4) (a), (b), and (c)	02/06/2016 OJ 2016/2021					RTS published in OJ
RTS 17	Admission of financial instruments to trading on regulated markets	MiFIR 3rd subpara Article 51(6)	24/05/2016 OJ 2017/568					RTS published in OJ
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 OJ 2017/569					RTS published in OJ
ITS 19	Description of the functioning of MTFs and OTFs	MiFID II 3rd subpara of Article 18(11)	24/05/2016 OJ 2016/824					ITS published in OJ
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 OJ 2017/592					RTS published in OJ
RTS 21	Application of position limits to commodity derivatives	MiFID II Article 57(3) and (12)	1/12/2016 OJ 2017/591					RTS published in OJ

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RTS 22	Reporting of transactions to competent authorities	MiFIR 3rd subpara of Article 26(9)	28/07/2016 OJ 2017/590					RTS published in OJ
RTS 23	Supply of financial instruments reference data	MiFIR the 3rd subpara of Article 27(3)	14/07/2016 OJ 2017/585					RTS published in OJ
RTS 24	Maintenance of relevant data relating to orders in financial instruments	MiFIR 4th subpara of Article 25(3)	24/06/2016 OJ 2017/580					RTS published in OJ
RTS 25	Level of accuracy of business clocks	MiFID II 3rd subpara of Article 50(2)	07/06/2016 OJ 2017/574					RTS published in OJ
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 2017/582 OJ					RTS published in OJ
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 OJ 2017/575					RTS published in OJ
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)	08/06/2016 OJ 2017/576					RTS published in OJ

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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	14-10-16	
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		RTS published in OJ
ITS	Passporting	MiFID II Articles 34(9) and 35(12)						RTS published in OJ
RTS	Cooperation between authorities	MiFIR Article 46(7)	14/07/2016 OJ 2017/586					RTS published in OJ
RTS	Registration of third country firms	MiFID II Article 80(3)	14/07/2016 OJ 2016/2022					RTS published in OJ
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) MiFID II Article 12(8)					11-10-17	
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 10(a)(8) MiFID II Article 12(9)						

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ITS 1	Standard forms, templates and procedures for cooperation arrangements	MiFID II Article 79(9)						ITS published in OJ
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 published in OJ
ITS 3	Standard forms, templates and procedures for the authorisation of data reporting services providers	MiFID II Article 61(5)						ITS published in OJ
ITS 4	Position reporting	MiFID II Article 58(5)						ITS published in OJ
ITS 5	Format and timing of weekly position reports	MiFID II Article 58(7)						ITS published in OJ
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 published in OJ
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 published in OJ
ITS 8	Procedures and forms for submitting information on sanctions and measures	MiFID II Article 71(7)						ITS published in OJ