

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

(last updated: 08/01/2018)

|       | RTS/ITS                                                                                                                                                                                  | Legal Basis                                                          | Adoption by the European Commission | 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<br>OJ 2017/587           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/583           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/577           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2016/2020          | <a href="#">RTS published in OJ</a> |
| RTS 5 | Direct, substantial and foreseeable effect of derivative contracts within the Union                                                                                                      | MiFIR Article 28(5)                                                  | 13/06/2016<br>OJ 2017/579           | <a href="#">RTS published in OJ</a> |
| RTS 6 | Specifying the organisational requirements of investment firms engaged in algorithmic trading                                                                                            | MiFID II Article 17(7)(a) and (d)                                    | 19/07/2016<br>OJ 2017/589           | <a href="#">RTS published in OJ</a> |
| RTS 7 | Specifying organisational requirements of trading venues                                                                                                                                 | MiFID II Article 48(12)(a),(c) and (g)                               | 14/07/2016<br>OJ 2017/584           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/578           | <a href="#">RTS published in OJ</a> |

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| RTS 9  | The ratio of unexecuted orders to transactions                                                                       | MiFID II Article 48(12) (b)                                                        | 18/05/2016<br>OJ 2017/566           | <a href="#">RTS published in OJ</a> |
| RTS 10 | Requirements to ensure fair and non-discriminatory co-location services and fee structures                           | MiFID II Article 48(12) (d)                                                        | 06/06/2016<br>OJ 2017/573           | <a href="#">RTS published in OJ</a> |
| RTS 11 | Tick size regime for shares, depositary receipts and, exchange traded funds                                          | MiFID II Article 49(3) and (4)                                                     | 14/07/2016<br>OJ 2017/588           | <a href="#">RTS published in OJ</a> |
| RTS 12 | Determination of a material market in terms of liquidity relating to halt notifications                              | MiFID II Article 48(12) (e)                                                        | 26/05/2016<br>OJ 2017/570           | <a href="#">RTS published in OJ</a> |
| RTS 13 | Authorization, organisational requirements and the publication of transactions for data reporting services providers | MiFID II Articles 61 (4),<br>64(6), (8), 65(6), (8), and<br>66(5)                  | 02/06/2016<br>OJ 2017/571           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/572           | <a href="#">RTS published in OJ</a> |
| RTS 15 | Clearing access in respect of trading venues and central counterparties                                              | MiFIR Articles 35(6) and<br>36(6)                                                  | 24/06/2016<br>OJ 2017/581           | <a href="#">RTS published in OJ</a> |
| RTS 16 | Access in respect of benchmarks                                                                                      | MiFIR Article 37(4) (a), (b),<br>and (c)                                           | 02/06/2016<br>OJ 2016/2021          | <a href="#">RTS published in OJ</a> |
| RTS 17 | Admission of financial instruments to trading on regulated markets                                                   | MiFIR 3rd subpara Article<br>51(6)                                                 | 24/05/2016<br>OJ 2017/568           | <a href="#">RTS published in OJ</a> |
| RTS 18 | Suspension and removal of financial instruments from trading reporting services providers                            | MiFID II 10th subpara of<br>Article 32(2) and the 10th<br>subpara of Article 52(2) | 24/05/2016<br>OJ 2017/569           | <a href="#">RTS published in OJ</a> |

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| ITS 19 | Description of the functioning of MTFs and OTFs                                                                           | MiFID II 3rd subpara of Article 18(11)                  | 24/05/2016<br>OJ 2016/824           | <a href="#">ITS published in OJ</a> |
| 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<br>OJ 2017/592            | <a href="#">RTS published in OJ</a> |
| RTS 21 | Application of position limits to commodity derivatives                                                                   | MiFID II Article 57(3) and (12)                         | 1/12/2016<br>OJ 2017/591            | <a href="#">RTS published in OJ</a> |
| RTS 22 | Reporting of transactions to competent authorities                                                                        | MiFIR 3rd subpara of Article 26(9)                      | 28/07/2016<br>OJ 2017/590           | <a href="#">RTS published in OJ</a> |
| RTS 23 | Supply of financial instruments reference data                                                                            | MiFIR the 3rd subpara of Article 27(3)                  | 14/07/2016<br>OJ 2017/585           | <a href="#">RTS published in OJ</a> |
| RTS 24 | Maintenance of relevant data relating to orders in financial instruments                                                  | MiFIR 4th subpara of Article 25(3)                      | 24/06/2016<br>OJ 2017/580           | <a href="#">RTS published in OJ</a> |
| RTS 25 | Level of accuracy of business clocks                                                                                      | MiFID II 3rd subpara of Article 50(2)                   | 07/06/2016<br>OJ 2017/574           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/582           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/575           | <a href="#">RTS published in OJ</a> |
| 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<br>OJ 2017/576           | <a href="#">RTS published in OJ</a> |

| RTS/ITS |                                                                                                                                                                                                                      | Legal Basis                                                                  | Adoption by the European Commission | Published in the Official Journal   |
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| RTS     | Autorisation                                                                                                                                                                                                         | MiFID II Article 7(4)                                                        | 14/07/2016<br>C(2016) 4417          | <a href="#">RTS published in OJ</a> |
| ITS     | Authorisation                                                                                                                                                                                                        | MiFID II 3rd subpara of Article 7(5)                                         | 19/06/2017<br>C(2017) 4055          | <a href="#">ITS published in OJ</a> |
| RTS     | Passporting                                                                                                                                                                                                          | MiFID II 3rd subpara of Articles 34(8) and the 3rd subpara of Article 35(11) | 29/06/2016<br>C(2016) 3917          | <a href="#">RTS published in OJ</a> |
| ITS     | Passporting                                                                                                                                                                                                          | MiFID II Articles 34(9) and 35(12)                                           |                                     | <a href="#">ITS published in OJ</a> |
| RTS     | Cooperation between authorities                                                                                                                                                                                      | MiFIR Article 46(7)                                                          | 14/07/2016<br>OJ 2017/586           | <a href="#">RTS published in OJ</a> |
| RTS     | Registration of third country firms                                                                                                                                                                                  | MiFID II Article 80(3)                                                       | 14/07/2016<br>OJ 2016/2022          | <a href="#">RTS published in OJ</a> |
| 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)<br>MiFID II Article 12(8)                           | 11/07/17                            | <a href="#">RTS published in OJ</a> |
| 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)<br>MiFID II Article 12(9)                           | 13/06/17                            | <a href="#">ITS published in OJ</a> |
| RTS     | Package orders                                                                                                                                                                                                       | MiFIR Article 9(6)                                                           | 14/08/2017<br>C(2017) 5611          | <a href="#">RTS published in OJ</a> |

|       | RTS/ITS                                                                                                                                                                                  | Legal Basis                       | Adoption by the European Commission | Published in the Official Journal   |
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| ITS 1 | Standard forms, templates and procedures for cooperation arrangements                                                                                                                    | MiFID II Article 79(9)            |                                     | <a href="#">ITS published in OJ</a> |
| ITS 2 | Suspension and removal of financial instruments from trading on RM, a MTF or OTF                                                                                                         | MiFID II Articles 32(3) and 52(3) |                                     | <a href="#">ITS published in OJ</a> |
| ITS 3 | Standard forms, templates and procedures for the authorisation of data reporting services providers                                                                                      | MiFID II Article 61(5)            |                                     | <a href="#">ITS published in OJ</a> |
| ITS 4 | Position reporting                                                                                                                                                                       | MiFID II Article 58(5)            |                                     | <a href="#">ITS published in OJ</a> |
| ITS 5 | Format and timing of weekly position reports                                                                                                                                             | MiFID II Article 58(7)            |                                     | <a href="#">ITS published in OJ</a> |
| 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) |                                     | <a href="#">ITS published in OJ</a> |
| ITS 7 | Standard forms, templates and procedures for the consultation of other competent authorities prior to granting an authorisation                                                          | MiFID II Article 84(4)            |                                     | <a href="#">ITS published in OJ</a> |
| ITS 8 | Procedures and forms for submitting information on sanctions and measures                                                                                                                | MiFID II Article 71(7)            |                                     | <a href="#">ITS published in OJ</a> |