

ESMA Guidelines (last updated on 2 July 2021)									
Overarching directive	Title	Legal basis	Consultation paper	Feedback	Final report	Translation in official languages	Date of application	Compliance table	Peer reviews
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on reporting obligations under Articles 3(3)(d) and 24(1)(2) and (4) of the AIFMD	Own initiative (16 ESMAR)	24/05/2013 - 01/07/2013 2013/592	Responses	15/11/2013 2013/1339 REV	08/06/2014 2014/869	10-Oct-14	21/11/2019 ESMA34-32-458	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on the model MoU concerning consultation, cooperation and the exchange of information related to the supervision of AIFMD entities	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	18/07/2013 2013/958	29-Nov-13	11/11/2020 ESMA-34-32-699	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Key concepts of the AIFMD	Own initiative (16 ESMAR)	19/12/2012 - 01/02/2013 2012/845	Responses	24/05/2013 2013/600	13/08/2013 2013/611	13-Oct-13	07/04/2016 2018/277	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on sound remuneration policies under the AIFMD	Art 13(2)	28/06/2012 - 27/09/2012 2012/406	Responses	11/02/2013 2013/201	03/07/2013 2013/232	22-Jul-13	2016/675 (last updated 04/10/2017)	None at present
Alternative Investment Funds Directive (AIFMD) [Directive 2011/61/EU]	Guidelines on Article 25 of Directive 2011/61/EU	Own initiative (16 ESMAR)	27/3/2020 - 1/6/2020 ESMA34-39-967	Responses	None at present	None at present	None at present	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Access by a CSD to the Transaction Feeds of a CCP or of a Trading Venue under CSDR	Own initiative (16ESMAR)	18/12/2014 - 19/02/2015 2014/1565	Responses	23/03/2017 ESMA70-70836281-7	08/06/2017 ESMA70-151-298	8-Aug-17	19/10/2018 ESMA70-151-727	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on participant default rules and procedures under CSDR	Art 41(4)	31/05/2016 - 30/06/2016 2016/732	Responses	23/03/2017 ESMA70-70836281-8	08/06/2017 ESMA70-151-294	8-Aug-17	22/10/2018 ESMA70-151-732	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Cooperation between Authorities under articles 17 and 23 of CSDR	Art 14(1)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-151-435	28-May-18	18/10/2018 ESMA70-151-1417	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on the Process for the Calculation of the Indicators to Determine the Substantial Importance of a CSD for a Host Member State	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-70836281-67	28-Mar-18	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on the Process for the Calculation of the Indicators to Determine the Most Relevant Currencies in which Settlement Takes Place	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	28/03/2018 ESMA70-70836281-66	28-Mar-18	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Internalised Settlement Reporting under Article 9 of CSDR	Own initiative (16 ESMAR)	10/07/2017 - 14/09/2017 ESMA70-151-457	Responses	28/03/2018 ESMA70-151-1258	30/04/2018 ESMA70-151-367	None at present	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on Settlement Falls Reporting under Article 7(1) of CSDR	Art. 7(1) CSDR	20/12/2018 - 20/02/2019 ESMA70-151-1855	Responses	None at present	None at present	None at present	None at present	None at present
Central Securities Depositories Regulation (CSDR)	Guidelines on standardised procedures and messaging protocols used between investment firms and their professional clients under Article 6(2) of CSDR	Art/ 6 (2) CSDR	20/12/2018 - 20/02/2019 ESMA70-151-1847	Responses	8/10/2019 ESMA70-151-2641	05/04/2020 ESMA70-151-2906	25-May-18	None at present	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the validation and review of Credit Rating Agencies' methodologies	Art 8(3) and 8(5) CRA Regulation	13/07/2016 - 22/08/2016 2016/1121	Responses	15/11/2016 2016/1575	23/03/2017 2016/1575	23-May-17	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on periodic information to be submitted to ESMA by Credit Rating Agencies	Own initiative (16 ESMAR)	16/07/2014 - 31/10/2014 2014/845	Responses	19/03/2015 2015/809	23/06/2015 2015/809	23-Aug-15	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the submission of periodic information to ESMA by Credit Rating Agencies -2d edition	Own initiative (16 ESMAR)	19/07/2018 - 26/09/2018 ESMA 33-9-252	Responses	05/02/2019 ESMA33-9-295	07/04/2021 ESMA33-9-295	07/06/2021	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Disclosure Requirements Applicable to Credit Ratings	Own initiative (16 ESMAR)	19/12/208 - 19/03/2019 ESMA33-9-220	Responses	19/07/2019 ESMA33-9-320	12/03/2021 ESMA33-9-320	30-Mar-20	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines and Recommendations on the Scope of the CRA Regulation	Own initiative (16 ESMAR)	20/12/2012 - 20/02/2013 2012/841	Responses	17/06/2013 2013/720	30/07/2013 2013/720	1-Oct-13	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines and Recommendations: Cooperation including delegation between ESMA, the competent authorities and the national competent authorities under Regulation (EU) No 513/2011 on credit rating agencies	Art 21 (2)	No consultation conducted. These guidelines have the nature of a memorandum of understanding between ESMA and the national competent authorities. As a result, neither consultation nor national implementation was required from the Member States.	No consultation conducted.	No consultation conducted.	10/01/2012 2011/188	6-Oct-11	N/A. These guidelines have the nature of a memorandum of understanding between ESMA and the national competent authorities. As a result, neither consultation nor national implementation was required from the Member States.	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	repealed (see ESMA33-9-205) Guidelines on the application of the endorsement regime under Article 4 (3) of the Credit Rating Agencies Regulation – supplementary guidance on how to assess if a requirement is "as stringent as" the requirements set out in CRAR	Art 21(3)	18/03/2011 - 31/03/2011 2011/97	Responses	18/05/2011 2011/139		18-May-11	N/A	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on the application of the endorsement regime under Article 4(3) of the Credit Rating Agencies Regulation – supplementary guidance on how to assess if a requirement is "as stringent as" the requirements set out in CRAR	Art 21(3)	First consultation 04/04/2017 - 03/07/2017 ESMA33-9-198 Second consultation 27/03/2018 - 26/05/2018 ESMA33-9-235	Responses Responses	17/11/2017 ESMA33-9-205 18/07/2018 ESMA33-9-246	20/05/2019 ESMA33-9-262	1-Jan-19	N/A	None at present

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Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Disclosure Requirements for Initial Reviews and Preliminary Ratings	Own initiative (16 ESMAR)	26/05/2021 ESMA 33-9-413	None at present	None at present	None at present	None at present	None at present	None at present
Credit Rating Agencies Regulation (CRAR) [Regulation (EC) No 1060/2009]	Guidelines on Internal Control for CRAs	Own initiative (16 ESMAR)	5/12/2019 - 13/04/2020 ESMA33-9-355	Responses	30/09/20 ESMA33-9-371	None at present	None at present	None at present	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines and Recommendations regarding the implementation of the CPSS-IOSCO Principles for Financial Market Infrastructures in respect of Central Counterparties	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 16(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	No consultation conducted.	04/09/2014 2014/1133	4-Sep-14	16/02/2016 2016/275	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines and Recommendations regarding written agreements between members of CCP colleges	Own initiative (16 ESMAR)	No consultation paper. See page 5 of final report for reasoning.	No consultation conducted.	04/06/2013 2013/661 21/01/2021 (revised) ESMA70-151-2924	03/10/2013 20131390	3-Oct-13	16/02/2016 2016/273	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines and Recommendations for establishing consistent, efficient and effective assessments of interoperability arrangements	Art 54(4)	20/12/2012 - 31/01/2013 2012/842	Responses	10/06/2013 2013/223 2013/222	None at present	10-Jun-13	16/02/2016 2016/274	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines on transfer of data between TRs	Own initiative (16 ESMAR)	31/01/2017 - 31/03/2017 ESMA70-798036281-17 28/05/2021	Responses	24/08/2017 ESMA70-151-552	27/April/2018 ESMA70-151-1118	16-Oct-17	Not applicable	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines on CCP conflicts of interest management	Own initiative (16 ESMAR)	ESMA74-362-1941 01/07/2017 - 24/08/2017 ESMA70-151-291	Responses	None at present	05/04/2019 ESMA70-151-1094 ESMA70-151-1439	None at present	None at present	06/03/2021 ESMA70-151-2537
EMR [Regulation (EU) No 648/2012]	Guidelines on position calculation under EMIR	Own initiative (16 ESMAR)	15/11/2017 - 15/01/2018 ESMA70-151-819	Responses	None at present	ESMA70-151-1272 ESMADL-151-1350	12/3/2018	None at present	None at present
EMR [Regulation (EU) No 648/2012]	Guidelines on Anti-Procyclicality Margin Measures for Central Counterparties	Own initiative (16 ESMAR)	08/01/2018 - 28/02/2018 ESMA70-151-1013	Responses	28 May 2018 ESMA70-151-1293	15/04/2019 ESMA70-151-1496	3-Dec-18	06/03/2021 ESMA70-151-2536	None at present
Financial Conglomerates Directive (FCOD) [Directive 2002/87/EC]	Joint Guidelines on the convergence of supervisory practices relating to the consistency of supervisory coordination arrangements for financial conglomerates	Subparagraph 3 of Art 11(1)	12/02/2014 - 12/06/2014 JC/CP/2014/02 28/01/2016	Responses	22/12/2014 13/07/2016	22/12/2014 JC/CG/2014/01 JC/CG/2014/01 10/11/2016	23-Feb-15	22/12/2014 JC/2015/087	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines for persons receiving market soundings	Art 11(1)	28/01/2016 2016/162	Responses	2016/162 2016/1130	2016/1477	10-Jan-17	17/03/2017 update 31/01/2018 ESMA70-145-66	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines on legitimate interests of issuers to delay disclosure of inside information and situations in which the delay of disclosure is likely to mislead the public	Art 17(1)	28/01/2016 2016/162	Responses	13/07/2016 2016/1130	20/10/2016 2016/1478	20-Dec-16	17/03/2017 update 31/01/2018 ESMA70-145-67	None at present
Market Abuse Regulation (MAR) [Regulation (EU) No 596/2014]	Guidelines on MAR - information relating to commodity derivatives markets or related spot markets for the purpose of the definition of inside information on commodity derivatives Consolidated (see ESMA70-156-869)	Article 7(5)	28/01/2016 2016/162	Responses	30/09/2016 2016/1412	17/01/2017 ESMA2016/1480	17-Mar-17	28/09/2017 update 31/01/2018 ESMA70-145-153	None at present
MIFID I [Directive 2004/39/EC]	Guidelines on the application of the definitions in Sections C6 and C7 of Annex I of Directive 2004/39/EC (MIFID)	Own initiative (16 ESMAR)	28/09/2014 - 05/01/2015 2014/189	Responses	06/05/2015 2015/675	20/10/2015 2015/1341	7-Aug-15	None at present	None at present
MIFID I [Directive 2004/39/EC]	Guidelines and Recommendations on remuneration policies and practices (MIFID)	Own initiative (16 ESMAR)	17/09/2012 - 07/12/2012 2012/670	Responses	11/05/2013 2013/606	01/10/2013 2013/606	1-Oct-13	07/10/2014 2014/1213	None at present
MIFID I [Directive 2004/39/EC]	Guidelines on certain aspects of the MIFID compliance function requirements	Own initiative (16 ESMAR)	22/12/2011 - 24/02/2012 2011/446	Responses	05/07/2012 2012/388	28/08/2012 2012/388	29-Jan-13	24/04/2014 2013/923	29 November 2017 ESMA42-111-4285 07/04/2018
MIFID I [Directive 2004/39/EC]	Guidelines on certain aspects of the MIFID suitability requirements	Own initiative (16 ESMAR)	22/12/2011 - 24/02/2012 2011/446	Responses	06/07/2012 2012/387	21/08/2012 2012/387	22-Dec-12	24/04/2014 2013/922	18/03/2015 Follow-up 24/07/2018 ESMA 42-111-4653
MIFID I [Directive 2004/39/EC]	Withdrawn Guidelines: Systems and controls in an automated trading environment for trading platforms, investment firms and competent authorities	Own initiative (16 ESMAR)	20/07/2011 - 03/10/2011 2011/924	Responses	22/12/2011 2011/486	24/02/2012 2012/122	1-May-12	28/05/2012 (updated 17/02/2016) ESMA2012/332 2015/502	18/03/2015
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on the MIFID/II/MFIR obligations on market data	Own initiative (16 ESMAR)	06/11/2020 - 11/01/2021 ESMA70-156-2477	Responses	01/06/2021 ESMA70-156-4305	None at present	1-Jan-21	None at present	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on the application of C6 and C7 of Annex 1 of MIFID II	Own initiative (16 ESMAR)	N/A	N/A	21 December 2018 ESMA70-156-869	05/06/2019 ESMA70-156-869	5-Aug-19	03/09/2019 ESMA70-156-1411	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on Cross-Selling Practices under MIFID II	Art 24(1)	22/12/2014 - 22/03/2015 JC/CP/2014/05	Responses	22/12/2015 2015/1872	11/07/2016 2015/1872	03-Jan-18 (*)	05/02/2020 ESMA35-43-1968	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on complex debt instruments and structured deposits	Art 25(10)	23/04/2015 - 10/07/2015 2015/610	Responses	28/11/2015 2015/1783	04/02/2016 2015/1783	03-Jan-18 (*)	07/07/2016 (updated 10/03/2020) ESMA35-43-1967	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines: Transaction reporting, order record keeping and clock synchronisation under MIFID II	Own initiative (16 ESMAR)	22/12/2015 - 23/03/2016 2015/1900	Responses	10/10/2016 (corrected 07/09/2017) ESMA2016/1452	02/10/2017 ESMA2016/1452	03-Jan-18 (*)	21/03/2018 ESMA70-145-1345	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on the calibration, publication and reporting of trading halts	Own initiative (16 ESMAR)	06/10/2016 - 06/12/2016 2016/140	Responses	06/04/2017 ESMA70-872942001-63	27/06/2017 ESMA70-872942001-63	3-Jan-18	19/10/2017 ESMA70-156-177 26/03/2018	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on the management body of market operators and data reporting services providers	Art 45(9) and Art 63(2)	05/10/2016 - 05/01/2017 2016/1437	Responses	ESMA70-154-271	ESMA70-154-271	3-Jan-18	ESMA70-156-360 31/08/2018	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on MIFID II product governance requirements	Own initiative (16 ESMAR)	05/10/2016 - 05/01/2017 2016/1430	Responses	02/06/2017 ESMA35-43-620	05/02/2018 ESMA35-43-620	3-Jan-18	update 27/09/2019 ESMA35-43-1076	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on knowledge and competence	Art 25(9) MIFID II	23/04/2015 2015/1886	Responses	17/12/2015 2015/1886	22/03/2016 2015/1886	03-Jan-18 (*)	20/05/2020 Update ESMA35-43-2183	None at present
MIFID II [Directive 2014/65/EU] and CRD IV (Directive 2013/36/EU)	Joint ESMA/EBA guidelines on the assessment of suitability of members of the management body and key function holders	Art 5(1) MIFID II Art 91(12) of CRD IV	28/10/2016 - 28/01/2017 2016/1529	Responses	26/09/2017 EBA/GL/2017/12 ESMA71-99-288	21/03/2018 EBA/CG/2017/12	30-Jun-18	06/11/2018 ESMA35-43-1215	None at present
MIFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on certain aspects of the MIFID II suitability requirements	Own initiative (16 ESMAR)	13/07/2017-13/10/2017 ESMA35-43-748	Responses	26/09/2016 ESMA35-43-869	06/11/2018 ESMA35-43-1162	5-Jan-19	20/06/2019 ESMA35-43-1430	None at present

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MFID II [Directive 2014/65/EU] and MIFIR (600/2014)	Guidelines on certain aspects of the MFID II compliance function requirements	Own initiative (16 ESMAR)	15/07/2019 - 15/10/2019 ESMA35-43-2019	Responses	05/06/2020 ESMA35-36-1952	06/04/2021 ESMA35-36-1952	6-Jun-21	None at present	None at present
MFID II [Directive 2014/65/EU]	Guidelines on certain aspects of the MFID II appropriateness and execution-only requirements	Own initiative (16 ESMAR)	29/01/2021 - 29/04/2021 ESMA35-36-2159	None at present	None at present	None at present	None at present	None at present	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on the reporting to competent authorities under article 37 of the MMF Regulation	Art. 37 MMF Regulation	13/11/2018 - 14/02/2019 ESMA34-49-144	Responses	19/07/2019 ESMA34-49-168	9/22/2020	22-Aug-20	Updated 12/01/2021 ESMA30-164-4045	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios	Art 28 MMF Regulation	24/05/2017 - 07/08/2017 ESMA34-49-82	Responses	13/11/2017 ESMA34-49-103	3/21/2018	21-Jul-18	Updated 15/10/2020 ESMA34-49-186	None at present
Money Market Fund Regulation [Regulation (EU) 2017/1131 on money market funds] ("MMF Regulation")	Guidelines on stress test scenarios Updated	Art 28 MMF Regulation	28/09/2018 - 01/12/2018 ESMA34-49-131	Responses	19/07/2019 ESMA34-49-164	3/3/2020	3-May-20	Updated 15/10/2020 ESMA34-49-186	None at present
Other	Guidelines for complaints-handling for the securities (ESMA) and banking (EBA) sectors	Own initiative (16 ESMAR)	06/11/2014 - 07/02/2015 JC-CP-2013-03	Responses	27/05/2014 JC/2014/43	25/08/2014 JC/2014/43	27-Oct-14	17/02/2015 JC/IGL/2014/43 Appendix 1	05/01/2016 201511791
Other	Guidelines on cooperation arrangements and information exchange between competent authorities and between competent authorities and ESMA.	Own initiative (16 ESMAR)	No consultation conducted (Pursuant to Art 18(2) of Regulation 1095/2010, ESMA does not need to conduct open public consultations when considered unnecessary.	No consultation conducted.	N/A		27/03/2014 2014/298	20/01/2015 update 21/05/2018 ESMA41-117-1108	None at present
Other	Guidelines on Outsourcing to Cloud Service Providers	Own initiative (16 ESMAR)	03/06/2020 - 01/09/2020 ESMA50-164-3342	Responses	10/05/2021 ESMA50-164-4285	10/05/2021 ESMA50-164-4285	31-Jul-21	None at present	None at present
Other	Joint Guidelines on the prudential assessment of acquisitions and increases of qualifying holdings in the banking, insurance and securities sectors	Own Initiative (16 ESMAR)	02/07/2015-02/10/2015 JC/IGL/2016/01	Responses	20/12/2016 JC/CI/2016/01	5/5/2017	5-Jul-17	JC/IGL/2016/72	None at present
Securities Financing Transactions Regulation (SFT) [Regulation (EU) 2365/2015] and EMR [Regulation (EU) No 648/2012]	Guidelines on periodic information and notification of material changes to be submitted to ESMA by Trade Repositories	Own initiative (16 ESMAR)	27/05/2019 - 27/08/2019 ESMA70-145-1145	Responses	23/03/2021 ESMA74-362-1553	None at present	None at present	None at present	None at present
Securities Financing Transactions Regulation (SFT) [Regulation (EU) 2365/2015]	Guidelines on calculation of positions in SFTs by Trade Repositories	Own initiative (16 ESMAR)	09/07/2020-15/09/2020 ESMA74-362-808	Responses	25/05/2021 ESMA74-362-1886	None at present	None at present	None at present	None at present
Securities Financing Transactions Regulation (SFT) [Regulation (EU) 2365/2015]	Guidelines on reporting under Articles 4 and 12 SFT	Own initiative (16 ESMAR)	27/05/2019-29/07/2019 ESMA70-151-1985	Responses	06/01/2020 ESMA70-151-2703	29/03/2021 ESMA70-151-2838	30-Mar-21	None at present	None at present
Short Selling Regulation (SSR) [Regulation (EU) 236/2012]	Guidelines on exemption for market making activities and primary market operations under Regulation (EU) 236/2012 of the European Parliament and the Council on short selling and certain aspects of Credit Default Swaps.	Own initiative (16 ESMAR)	17/09/2012 - 05/10/2012 2012580	Responses	01/02/2013 2013158	02/04/2013 201374	4-Jun-13	19/09/2013 (update 01/08/2019) ESMA70-11083-60-46	None at present
Transparency Directive (TD) [Directive 2004/109/EC]	Guidelines on Alternative Performance Measures	Own initiative (16 ESMAR)	13/02/2014 - 14/05/2015 2014175	Responses	30/06/2015 20151057	05/10/2015 20151415	3-Jul-16	ESMA32-67-184	None at present
Transparency Directive (TD) [Directive 2004/109/EC]	Guidelines on enforcement of financial information	Own initiative (16 ESMAR)	19/07/2013 - 15/10/2013 20131013	Responses	10/07/2014 2014807	28/10/2014 2014-1293	30-Dec-14	21/03/2015 ESMA32-67-142	18/07/2017 ESMA42-111-4138
UCITS Directive [Directive 2009/65/EC]	Guidelines on sound remuneration policies under the UCITS Directive and AIFMD (UCITS policies)	Art 14a(4)	23/07/2015 - 23/10/2015 20151172	Responses	04/02/2020 ESMA32-60-218	23/11/2020 ESMA32-50-218	1-Jan-22	None at present	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on sound remuneration policies under the UCITS Directive and AIFMD (AIFMD policies)	Art 14a(4)	23/07/2015 - 23/10/2015 20151172	Responses	14/10/2016 2016411	14/10/2016 2016575	1-Jan-17	04/10/2017 ESMA2016/675	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on ETFs and other UCITS issues Updated	Own initiative (16 ESMAR)	20/12/2013 - 31/01/2014 20131974	Responses	24/03/2014 2014294	01/08/2014 2014937	1-Aug-14	12/04/2016 2016002	30/07/2018 ESMA42-111-447
UCITS Directive [Directive 2009/65/EC]	Guidelines on ETFs and other UCITS issues	Own initiative (16 ESMAR)	30/01/2012 201244	Responses	25/07/2012 2012474	18/12/2012 2012832	20-Feb-13 (Note: transitional provisions para. 62-70)	12/04/2016 2016002	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on risk measurement and the calculation of global exposure for certain types of structured UCITS	Own initiative (16 ESMAR)	15/04/2010 - 31/03/2010 CESR/10-108	CESR Feedback Statement	28/07/2010 2011112	28/03/2012 2012197	28-Mar-12	N/A	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on performance fees in UCITS and certain types of AIFs	Own initiative (16 ESMAR)	16/07/2019 - 31/10/2019 ESMA34-39-881	Responses	03/04/2020 ESMA34-39-968	05/11/2020 ESMA34-39-992 EN	5-Jan-21	10/02/2021 ESMA34-45-1128	None at present
UCITS Directive [Directive 2009/65/EC]	Guidelines on liquidity stress testing in UCITS and AIFs	Own initiative (16 ESMAR)	05/02/2019 - 01/04/2019 ESMA34-39-784	Responses	02/09/2019 ESMA34-39-882	16/07/2020 ESMA34-39-897 EN	30-Sep-20	20/01/2021 ESMA34-45-974	None at present
Benchmarks Regulation (BMR) [EU] 2016/1011	Guidelines on non-significant benchmarks	Article 5(6) BMR	29/09/2017 - 30/11/2017 ESMA70-145-105	Responses	20/12/2018 ESMA70-145-1008	19/06/2019 ESMA70-145-1209	19-Aug-19	18/10/2019 ESMA70-156-1334	None at present
Prospectus Regulation [(EU) 2017/1129]	Guidelines on risk factors under the Prospectus Regulation	Article 16(4) Prospectus Regulation	13/07/2018 - 05/10/2018 ESMA31-62-995	Responses	29/03/2019 ESMA31-62-1217	11/06/2019 ESMA31-62-1293	4-Dec-19	13/01/2020 ESMA31-62-1409	None at present
Prospectus Regulation [(EU) 2017/1129]	Guidelines concerning disclosure requirements under the Prospectus Regulation	Own Initiative (16 ESMAR)	12/07/2019 - 04/10/2019 ESMA31-62-1293	Responses	15/07/2020 ESMA31-62-1426	04/03/2021 ESMA30-382-1138	4-May-21	01/07/2021 ESMA32-382-1157	None at present
Securitisation Regulation [(EU) 2017/2402]	Guidelines on securitisation repository data completeness and consistency thresholds	Own Initiative (16 ESMAR)	17/01/2020 - 16/03/2020 ESMA33-128-827	Responses	10/07/2020 ESMA33-128-1217	11/11/2020 ESMA33-128-1217	None at present	None at present	None at present

Overarching directive	Title	Legal basis	Consultation paper	Feedback	Final report	Translation in official languages	Date of application	Compliance table	Peer reviews
Securitisation Regulation [(EU) 2017/2402]	Guidelines on portability of information between securitisation repositories under the Securitisation Regulation	Own Initiative (16 ESMAR)	23/03/2018 - 23/05/2018 ESMA33-128-109	Responses	05/10/2020 ESMA33-128-1001	05/02/2021 ESMA33-128-1001 EN	1/1/2021	None at present	None at present
Regulation on facilitating cross-border distribution of collective investment undertakings [(Regulation (EU) 2018/1156)]	Guidelines on Marketing Communications under the Regulation on cross-border distribution of funds	Article 4(6)	09/11/20 ESMA34-45-926	Responses	27/05/2021 ESMA34-45-1244	None at present	None at present	None at present	None at present

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