

# ESMA Newsletter – N°9

15 November

## [ESMA updates its Q&As on the Securitisation Regulation](#)

The European Securities and Markets Authority (ESMA), the EU's securities markets regulator, has updated its Questions and Answers (Q&As) on the Securitisation Regulation (Regulation 2017/2402).

14 November

## [DG International Ratings SRL's CRA registration withdrawn](#)

The European Securities and Markets Authority (ESMA) has withdrawn the credit rating agency (CRA) registration of DG International Ratings SRL (previously Dagon Europe Credit Rating Srl) (DG International).

11 November

## [ESMA advises EC on the supervisory regime for third-country CCPs](#)

The European Securities and Markets Authority (ESMA), the EU's securities markets regulator, has published three sets of technical advice to the European Commission (EC) regarding third-country central counterparties (TC-CCPs) under the revised European Market Infrastructure Regulation (EMIR 2.2).

08 November

## [MiFID II: ESMA publishes data for the systematic internaliser calculations for equity, equity-like instruments and bonds](#)

The European Securities and Markets Authority (ESMA) has published data for the systematic internaliser calculations for equity, equity-like instruments and bonds under the Markets in Financial Instruments Directive (MiFID II) and Regulation (MiFIR).

08 November

## [MiFID II: ESMA makes new bond liquidity data available](#)

The European Securities and Markets Authority (ESMA) has started to make available new data for bonds subject to the pre- and post-trade requirements of the Markets in Financial Instruments Directive (MiFID II) and Regulation (MiFIR) through its data register.

08 November

## [MIFID II: ESMA ISSUES LATEST DOUBLE VOLUME CAP DATA](#)

The European Securities and Markets Authority (ESMA) has updated today its

public register with the latest set of double volume cap (DVC) data under the Markets in Financial Instruments Directive (MiFID II).

## **05 November**

### [MiFID II: ESMA consults on position limits in commodity derivatives](#)

The European Securities and Markets Authority (ESMA) has today launched a Consultation Paper on position limits and position management in commodity derivatives.

## **04 November**

### [Opening Statement by ESMA Chair Steven Maijor at ECON Hearing](#)

ESMA Chair Steven Maijor participated today in the annual hearing of European Parliament's Economic and Monetary Affairs Committee (ECON), together with the Chairmen of the European Banking (EBA) and European Occupational Pensions Authority (EIOPA).

## **31 October**

### [ESMA publishes validation rules and XML schemas for SFTR reporting](#)

The European Securities and Markets Authority (ESMA) has published today further technical details for the reporting of Securities Financing Transactions (SFTs) as required under the SFT Regulation (SFTR).

## **31 October**

### [ESMA report sees decrease in prospectus activity for 2018](#)

The European Securities and Markets Authority (ESMA), in its annual report on prospectus activity, reports that in 2018 the number of prospectus approvals across the European Economic Area (EEA) decreased by almost 5% compared to 2017 (from 3,567 to 3,390). This decrease in prospectus approvals follows a decade-long trend observed since the start of the financial crisis.

## **30 October**

### [ESMA update on Brexit preparations](#)

The European Securities and Markets Authority (ESMA) wants to inform stakeholders that, following the European Council's decision today extending the period under Article 50(3) relating to the United Kingdom's (UK) withdrawal from the European Union (EU), its previous statements relating to its preparations for a no-deal Brexit will no longer apply as of 31 October.

## **30 October**

### [MiFID II – New Publication Date for Systematic Internaliser and Bond Data](#)

The European Securities and Markets Authority (ESMA) will publish the systematic internaliser (SI) and bond market liquidity data on 8 November,

this follows the latest developments around the departure of the United Kingdom (UK) from the European Union (EU).

## **29 October**

### [Steven Maijor delivers speech on Benchmarks in Madrid](#)

Steven Maijor, Chair of the European Securities and Markets Authority (ESMA), has delivered a speech on the Benchmarks Regulation, and related issues, at a conference organised by the Comisión Nacional del Mercado de Valores (CNMV) in Madrid.

## **24 October**

### [ESAs seek to promote consistent application of the PRIIPs Regulation to bonds](#)

The European Supervisory Authorities (ESAs) have issued a Supervisory Statement in order to promote a consistent application by national competent authorities (NCAs) of the scope of the Regulation for packaged retail and insurance-based investment products (PRIIPs Regulation) to bond markets.

## **22 October**

### [EU enforcers must monitor closely new reporting standards](#)

The European Securities and Markets Authority (ESMA), the EU's securities markets regulator, publishes the priorities that European enforcers will consider when examining the 2019 annual financial reports of listed companies. The 2019 enforcement priorities reflect the changes introduced in recent financial reporting standards and consider issues identified by national competent authorities (NCAs) through their enforcement activities in 2019.

## **20 October**

### [ESMA AND THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION TO COOPERATE ON BENCHMARKS](#)

The European Securities and Markets Authority (ESMA) and the Australian Securities and Investments Commission (ASIC) are pleased to announce that they have signed a Memorandum of Understanding (MoU) setting out cooperation arrangements in respect of Australian benchmarks.

## **17 October**

### [ESMA sees significant room for improvement in national regulators' supervision of derivatives data](#)

The European Securities and Markets Authority (ESMA) has published the results of a peer review conducted into supervisory actions of six National Competent Authorities (NCAs) regarding their approaches at enhancing the quality of derivative data reported under the European Market Infrastructure Regulation (EMIR).

16 October

[ESAs consult on changes to the key information document for PRIIPs](#)

The European Supervisory Authorities (ESAs) have issued a Consultation Paper on amendments to existing rules underpinning the Key Information Document (KID) for Packaged Retail and Insurance-based Investment Products (PRIIPs).

**15 October**

[Steven Maijor speech on the quality of corporate governance](#)

The ESMA Chair Steven Maijor delivered a speech on the quality of corporate governance at the Corporate Governance Conference in Zagreb.

10 October

[Steven Maijor addresses EU-Asia Financial Dialogue at ASIFMA Annual Conference 2019, Tokyo](#)

Steven Maijor, Chair of the European Securities and Markets Authority (ESMA), addressed the EU-Asia Financial Dialogue as part of ASIFMA's Annual Conference 2019 in Tokyo.

09 October

[ESMA publishes Annual Report on the application of waivers and deferrals under MiFIR](#)

The European Securities and Markets Authority (ESMA), the EU's securities markets regulator, has published its Annual Report on the application of waivers and deferrals under MiFIR.

08 October

[ESMA adopts MAR standards on supervisory cooperation](#)

The European Securities and Markets Authority (ESMA), the EU's securities markets regulator, has issued its final report on a set of Regulatory Technical Standards (RTS) on the application of the Market Abuse Regulation (MAR).

08 October

[ESMA publishes final report on CSDR Guidelines on standardised procedures and messaging protocols](#)

The European Securities and Markets Authority (ESMA) has published its final report on the Guidelines on standardised procedures and messaging protocols. The Guidelines aim to clarify the scope of the requirement contained in Article 6(2) of the Central Securities Depositories Regulation (CSDR) and provide guidance on the standardised procedures and messaging standards used for compliance.

**07 October**

[□MIFID II: ESMA ISSUES LATEST DOUBLE VOLUME CAP DATA](#)

The European Securities and Markets Authority (ESMA) has updated today its public register with the latest set of double volume cap (DVC) data under the Markets in Financial Instruments Directive (MiFID II).

07 October

[ESMA updates Q&A on MiFIR data reporting](#)

The European Securities and Markets Authority (ESMA) has today updated its Questions and Answers on data reporting under the Market in Financial Instruments Regulation (MiFIR).

**07 October**

[ESMA – Update on the UK’s withdrawal from the European Union – preparations for a possible no-deal Brexit scenario on 31 October 2019](#)

On 29 March 2017, the United Kingdom of Great Britain and Northern Ireland (UK) invoked Article 50 of the Treaty on European Union (TEU) which triggered the process for its withdrawal from the European Union (EU), or Brexit. The invocation procedure provides that after a negotiation period of up to two years, the TEU cease to apply to the Member State which invoked Article 50.