

Status: Point in time view as at 15/03/2019.

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SCHEDULE

PART 1

EU Regulations for which the FCA is the appropriate regulator

Alternative Investment Funds Managers Directive

1. Commission Delegated Regulation (EU) 694/2014 supplementing Directive 2011/61/EU of the European Parliament and of the Council with regard to regulatory technical standards determining types of alternative investment fund managers ^{M1}.

Marginal Citations

M1 OJ L183, 24.6.2014, p.18.

[^{F1}Benchmarks Regulation

Textual Amendments

F1 Sch. paras. 1A-1L and cross-heading inserted (15.3.2019) by [The Financial Regulators Powers \(Technical Standards etc.\) and Markets in Financial Instruments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/576\)](#), regs. 1(2), 2(2)

1A. [Commission Implementing Regulation \(EU\) 2018/1105](#) of 8 August 2018 laying down implementing technical standards with regard to procedures and forms for the provision of information by competent authorities to ESMA under [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council.

1B. [Commission Implementing Regulation \(EU\) 2018/1106](#) of 8 August 2018 laying down implementing technical standards with regard to templates for the compliance statement to be published and maintained by administrators of significant and non-significant benchmarks pursuant to [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council.

1C. [Commission Delegated Regulation \(EU\) 2018/1637](#) of 13 July 2018 supplementing [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council with regard to regulatory technical standards for the procedures and characteristics of the oversight function.

1D. [Commission Delegated Regulation \(EU\) 2018/1638](#) of 13 July 2018 supplementing [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying further how to ensure that input data is appropriate and verifiable, and the internal oversight and verification procedures of a contributor that the administrator of a critical or significant benchmark has to ensure are in place where the input data is contributed from a front office function.

1E. [Commission Delegated Regulation \(EU\) 2018/1639](#) of 13 July 2018 supplementing [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying further the elements of the code of conduct to be developed by administrators of benchmarks that are based on input data from contributors.

1F. [Commission Delegated Regulation \(EU\) 2018/1640](#) of 13 July 2018 supplementing [Regulation \(EU\) 2016/1011](#) of the European Parliament and of the Council with regard to regulatory technical standards specifying further the governance and control requirements for supervised contributors.

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1G. Commission Delegated Regulation (EU) 2018/1641 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards specifying further the information to be provided by administrators of critical or significant benchmarks on the methodology used to determine the benchmark, the internal review and approval of the methodology and on the procedures for making material changes in the methodology.

1H. Commission Delegated Regulation (EU) 2018/1642 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards specifying further the criteria to be taken into account by competent authorities when assessing whether administrators of significant benchmarks should apply certain requirements.

1I. Commission Delegated Regulation (EU) 2018/1643 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards specifying further the contents of, and cases where updates are required to, the benchmark statement to be published by the administrator of a benchmark.

1J. Commission Delegated Regulation (EU) 2018/1644 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards determining the minimum content of cooperation arrangements with competent authorities of third countries whose legal framework and supervisory practices have been recognised as equivalent.

1K. Commission Delegated Regulation (EU) 2018/1645 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards for the form and content of the application for recognition with the competent authority of the Member State of reference and of the presentation of information in the notification to European Securities and Markets Authority (ESMA).

1L. Commission Delegated Regulation (EU) 2018/1646 of 13 July 2018 supplementing Regulation (EU) 2016/1011 of the European Parliament and of the Council with regard to regulatory technical standards for the information to be provided in an application for authorisation and in an application for registration.]

Credit rating agencies regulation

2. Commission Delegated Regulation (EU) 447/2012 of 21 March 2012 supplementing Regulation (EC) 1060/2009 of the European Parliament and of the Council on credit rating agencies by laying down regulatory technical standards for the assessment of compliance of credit rating methodologies ^{M2}.

Marginal Citations

M2 OJ L140, 30.5.2012, p.14.

3. Commission Delegated Regulation (EU) 449/2012 of 21 March 2012 supplementing Regulation (EC) 1060/2009 of the European Parliament and of the Council with regard to regulatory technical standards on information for registration and certification of credit rating agencies ^{M3}.

Marginal Citations

M3 OJ L140, 30.5.2012, p.32.

4. Commission Delegated Regulation (EU) 2015/1 of 30 September 2014 supplementing Regulation (EC) 1060/2009 of the European Parliament and of the Council with regard to regulatory

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technical standards for the periodic reporting on fees charged by credit rating agencies for the purpose of ongoing supervision by the European Securities and Markets Authority ^{M4}.

Marginal Citations

M4 OJ L2, 6.1.2015, p.1.

5. Commission Delegated Regulation (EU) 2015/2 of 30 September 2014 supplementing Regulation (EC) 1060/2009 of the European Parliament and of the Council with regard to regulatory technical standards for the presentation of the information that credit rating agencies make available to the European Securities and Markets Authority ^{M5}.

Marginal Citations

M5 OJ L2, 6.1.2015, p.24.

6. Commission Delegated Regulation (EU) 2015/3 of 30 September 2014 supplementing Regulation (EC) 1060/2009 of the European Parliament and of the Council with regard to regulatory technical standards on disclosure requirements for structured finance instruments ^{M6}.

Marginal Citations

M6 OJ L2, 6.1.2015, p.57.

[^{F2}European Long-term Investment Funds Regulation

Textual Amendments

F2 Sch. para. 6A and cross-heading inserted (21.2.2019) by [The Long-term Investment Funds \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/336\)](#), regs. 1(2), **2(2)**; and that same provision expressed to be inserted (15.3.2019) by virtue of [The Financial Regulators Powers \(Technical Standards etc.\) and Markets in Financial Instruments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/576\)](#), regs. 1(2), **2(3)**

6A. [Commission Delegated Regulation \(EU\) 2018/480](#) of 4 December 2017 supplementing [Regulation \(EU\) 2015/760](#) of the European Parliament and of the Council with regard to regulatory technical standards on financial derivative instruments solely serving hedging purposes, sufficient length of the life of the European long-term investment funds, assessment criteria for the market for potential buyers and valuation of the assets to be divested, and the types and characteristics of the facilities available to retail investors.]

European Markets Infrastructure Regulation

7. Commission Implementing Regulation (EU) 1248/2012 of 19 December 2012 laying down implementing technical standards with regard to the format of applications for registration of trade repositories according to Regulation (EU) 648/2012 of the European Parliament and of the Council on OTC derivatives, central counterparties and trade repositories ^{M7}.

Marginal Citations

M7 OJ L352, 21.12.2012, p.30.

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8. Commission Delegated Regulation (EU) 150/2013 of 19 December 2012 supplementing Regulation (EU) 648/2012 of the European Parliament and of the Council on OTC derivatives, central counterparties and trade repositories with regard to regulatory technical standards specifying the details of the application for registration as a trade repository ^{M8}.

Marginal Citations

M8 OJ L52, 23.2.2013, p.25.

9. Commission Delegated Regulation (EU) 151/2013 of 19 December 2012 supplementing Regulation (EU) 648/2012 of the European Parliament and of the Council on OTC derivatives, central counterparties and trade repositories, with regard to regulatory technical standards specifying the data to be published and made available by trade repositories and operational standards for aggregating, comparing and accessing the data ^{M9}.

Marginal Citations

M9 OJ L52, 23.2.2013, p.33.

European Social Entrepreneurship Fund Regulation

10. Commission Implementing Regulation (EU) 594/2014 of 3 June 2014 laying down implementing technical standards with regard to the format of the notification according to Article 17(1) of Regulation (EU) 346/2013 of the European Parliament and of the Council on European social entrepreneurship funds ^{M10}.

Marginal Citations

M10 OJ L165, 4.6.2014, p.44.

European Venture Capital Funds Regulation

11. Commission Implementing Regulation (EU) 593/2014 of 3 June 2014 laying down implementing technical standards with regard to the format of the notification according to Article 16(1) of Regulation (EU) 345/2013 of the European Parliament and of the Council on European venture capital funds ^{M11}.

Marginal Citations

M11 OJ L165, 4.6.2014, p.41.

Insurance Distribution Directive

12. Commission Implementing Regulation (EU) 2017/1469 of 11 August 2017 laying down a standardised presentation format for the insurance product information document ^{M12}.

Marginal Citations

M12 OJ L209, 12.8.2017, p.19.

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Market Abuse Regulation

13. Commission Implementing Regulation (EU) 2016/347 of 10 March 2016 laying down implementing technical standards with regard to the precise format of insider lists and for updating insider lists in accordance with Regulation (EU) 596/2014 of the European Parliament and of the Council ^{M13}.

Marginal Citations

M13 OJ L65, 11.3.2016, p.49.

14. Commission Implementing Regulation (EU) 2016/378 of 11 March 2016 laying down implementing technical standards with regard to the timing, format and template of the submission of notifications to competent authorities according to Regulation (EU) 596/2014 of the European Parliament and of the Council ^{M14}.

Marginal Citations

M14 OJ L72, 17.3.2016, p.1.

15. Commission Implementing Regulation (EU) 2016/523 of 10 March 2016 laying down implementing technical standards with regard to the format and template for notification and public disclosure of managers' transactions in accordance with Regulation (EU) 596/2014 of the European Parliament and of the Council ^{M15}.

Marginal Citations

M15 OJ L88, 5.4.2016, p.19.

16. Commission Delegated Regulation (EU) 2016/908 of 26 February 2016 supplementing Regulation (EU) 596/2014 on the European Parliament and of the Council laying down regulatory technical standards on the criteria, the procedure and the requirements for establishing an accepted market practice and the requirements for maintaining it, terminating it or modifying the conditions for its acceptance ^{M16}.

Marginal Citations

M16 OJ L153, 10.6.2016, p.3.

17. Commission Delegated Regulation (EU) 2016/909 of 1 March 2016 supplementing Regulation (EU) 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications ^{M17}.

Marginal Citations

M17 OJ L153, 10.6.2016, p.13.

18. Commission Delegated Regulation (EU) 2016/957 of 9 March 2016 supplementing Regulation 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the appropriate arrangements, systems and procedures as well as notification

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templates to be used for preventing, detecting and reporting abusive practices or suspicious orders or transactions ^{M18}.

Marginal Citations

M18 OJ L160, 17.6.2016, p.1.

19. Commission Delegated Regulation (EU) 2016/958 of 9 March 2016 supplementing Regulation (EU) 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the technical arrangements for objective presentation of investment recommendations or other information recommending or suggesting an investment strategy and for disclosure of particular interests or indications of conflicts of interest ^{M19}.

Marginal Citations

M19 OJ L60, 17.6.2016, p.15.

20. Commission Implementing Regulation (EU) 2016/959 of 17 May 2016 laying down implementing technical standards for market soundings with regard to the systems and notification templates to be used by disclosing market participants and the format of the records in accordance with Regulation (EU) 596/2014 of the European Parliament and of the Council ^{M20}.

Marginal Citations

M20 OJ L160, 17.6.2016, p.23.

21. Commission Implementing Regulation (EU) 2016/960 of 17 May 2016 supplementing Regulation (EU) 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the appropriate arrangements, systems and procedures for disclosing market participants conducting market soundings ^{M21}.

Marginal Citations

M21 OJ L160, 17.6.2016, p.29.

22. Commission Delegated Regulation (EU) 2016/1052 of 8 March 2016 supplementing Regulation (EU) 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the conditions applicable to buy-back programmes and stabilisation measures ^{M22}.

Marginal Citations

M22 OJ L173, 30.6.2016, p.34.

23. Commission Implementing Regulation (EU) 2016/1055 of 29 June 2016 laying down implementing technical standards with regard to the technical means for appropriate public disclosure of inside information and for delaying the public disclosure of inside information in accordance with Regulation (EU) 596/2014 of the European Parliament and of the Council ^{M23}.

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Marginal Citations

M23 OJ L173, 30.6.2016, p.47.

24. Commission Implementing Regulation (EU) 2017/1158 of 29 June 2017 laying down implementing technical standards with regards to the procedures and forms for competent authorities exchanging information with the European Securities Market Authority ^{M24}.

Marginal Citations

M24 OJ L167, 30.6.2017, p.22.

[^{F3}**24A.** [Commission Implementing Regulation \(EU\) 2018/292](#) of 26 February 2018 laying down implementing technical standards with regard to procedures and forms for exchange of information and assistance between competent authorities according to [Regulation \(EU\) No 596/2014](#) of the European Parliament and of the Council on market abuse.]

Textual Amendments

F3 [Sch. para. 24A](#) inserted (15.3.2019) by [The Financial Regulators Powers \(Technical Standards etc.\) and Markets in Financial Instruments \(Amendment\) \(EU Exit\) Regulations 2019](#) (S.I. 2019/576), regs. 1(2), **2(4)**

Markets in financial instruments directive

25. Commission Implementing Regulation (EU) 2016/824 of 25 May 2016 laying down implementing technical standards with regard to the content and format of the description of the functioning of multilateral trading facilities and organised trading facilities and the notification to the European Securities and Markets Authority according to Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments ^{M25}.

Marginal Citations

M25 OJ L137, 26.5.2016, p.10.

26. Commission Delegated Regulation (EU) 2017/566 of 18 May 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards for the ratio of unexecuted orders to transactions in order to prevent disorderly trading conditions ^{M26}.

Marginal Citations

M26 OJ L87, 31.3.2017, p.84.

27. Commission Delegated Regulation (EU) 2017/568 of 24 May 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the admission of financial instruments to trading on regulated markets ^{M27}.

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Marginal Citations

M27 OJ L87, 31.3.2017, p.117.

28. Commission Delegated Regulation (EU) 2017/569 of 24 May 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the suspension and removal of financial instruments from trading ^{M28}.

Marginal Citations

M28 OJ L87, 31.3.2017, p.122.

29. Commission Delegated Regulation (EU) 2017/570 of 26 May 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards for the determination of a material market in terms of liquidity in relation to notifications of a temporary halt in trading ^{M29}.

Marginal Citations

M29 OJ L87, 31.3.2017, p.124.

30. Commission Delegated Regulation (EU) 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers ^{M30}.

Marginal Citations

M30 OJ L87, 31.3.2017, p.126.

31. Commission Delegated Regulation (EU) 2017/573 of 6 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on requirements to ensure fair and Non-discriminatory co-location services and fee structures ^{M31}.

Marginal Citations

M31 OJ L87, 31.3.2017, p.145.

32. Commission Delegated Regulation (EU) 2017/574 of 7 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the level of accuracy of business clocks ^{M32}.

Marginal Citations

M32 OJ L87, 31.3.2017, p.148.

33. Commission Delegated Regulation (EU) 2017/575 of 8 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with

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regard to regulatory technical standards concerning the data to be published by execution venues on the quality of execution of transactions ^{M33}.

Marginal Citations

M33 OJ L87, 31.3.2017, p.152.

34. Commission Delegated Regulation (EU) 2017/576 of 8 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the annual publication by investment firms of information on the identity of execution venues and on the quality of execution ^{M34}.

Marginal Citations

M34 OJ L87, 31.3.2017, p.166.

35. Commission Delegated Regulation (EU) 2017/578 of 13 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards specifying the requirements on market making agreements and schemes ^{M35}.

Marginal Citations

M35 OJ L87, 31.3.2017, p.183.

36. Commission Delegated Regulation (EU) 2017/584 of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying organisational requirements of trading venues ^{M36}.

Marginal Citations

M36 OJ L87, 31.3.2017, p.350.

37. Commission Delegated Regulation (EU) 2017/586 of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the exchange of information between competent authorities when cooperating in supervisory activities, on-the-spot verifications and investigations ^{M37}.

Marginal Citations

M37 OJ L87, 31.3.2017, p.382.

38. Commission Delegated Regulation (EU) 2017/588 of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the tick size regime for shares, depositary receipts and exchange-traded funds ^{M38}.

Marginal Citations

M38 OJ L87, 31.3.2017, p.411.

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39. Commission Delegated Regulation (EU) 2017/591 of 1 December 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the application of position limits to commodity derivatives ^{M39}.

Marginal Citations

M39 OJ L87, 31.3.2017, p.479.

40. Commission Delegated Regulation (EU) 2017/592 of 1 December 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards for the criteria to establish when an activity is considered to be ancillary to the main business ^{M40}.

Marginal Citations

M40 OJ L87, 31.3.2017, p.492.

41. Commission Implementing Regulation (EU) 2017/953 of 6 June 2017 laying down implementing technical standards with regard to the format and the timing of position reports by investment firms and market operators of trading venues pursuant to Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments ^{M41}.

Marginal Citations

M41 OJ L144, 7.6.2017, p.12.

42. Commission Implementing Regulation (EU) 2017/980 of 7 June 2017 laying down implementing technical standards with regard to standard forms, templates and procedures for cooperation in supervisory activities, for on-site verifications, and investigations and exchange of information between competent authorities in accordance with Directive 2014/65/EU of the European Parliament and of the Council ^{M42}.

Marginal Citations

M42 OJ L148, 10.6.2017, p.3.

43. Commission Implementing Regulation (EU) 2017/981 of 7 June 2017 laying down implementing technical standards with regard to standard forms, templates and procedures for the consultation of other competent authorities prior to granting an authorisation in accordance with Directive 2014/65/EU of the European Parliament and of the Council ^{M43}.

Marginal Citations

M43 OJ L148, 10.6.2017, p.16.

44. Commission Implementing Regulation (EU) 2017/988 of 6 June 2017 laying down implementing technical standards with regard to standard forms, templates and procedures for cooperation arrangements in respect of a trading venue whose operations are of substantial importance in a host Member State ^{M44}.

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Marginal Citations

M44 OJ L149, 13.6.2017, p.3.

45. Commission Implementing Regulation (EU) 2017/1005 of 15 June 2017 laying down implementing technical standards with regard to the format and timing of the communications and the publication of the suspension and removal of financial instruments pursuant to Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments ^{M45}.

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Marginal Citations

M45 OJ L153, 16.6.2017, p.1.

46. Commission Delegated Regulation (EU) 2017/1018 of 29 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards specifying information to be notified by investment firms, market operators and credit institutions ^{M46}.

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Marginal Citations

M46 OJ L155, 17.6.2017, p.1.

47. Commission Implementing Regulation (EU) 2017/1093 of 20 June 2017 laying down implementing technical standards with regard to the format of position reports by investment firms and market operators ^{M47}.

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Marginal Citations

M47 OJ L158, 21.6.2017, p.16.

48. Commission Implementing Regulation (EU) 2017/1110 of 22 June 2017 laying down implementing technical standards with regard to the standard forms, templates and procedures for the authorisation of data reporting services and related notifications pursuant to Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments ^{M48}.

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Marginal Citations

M48 OJ L162, 23.6.2017, p.3.

49. Commission Implementing Regulation (EU) 2017/1111 of 22 June 2017 laying down implementing technical standards with regard to procedures and forms for submitting information on sanctions and measures in accordance with Directive 2014/65/EU of the European Parliament and of the Council on markets in financial instruments ^{M49}.

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Marginal Citations

M49 OJ L162, 23.6.2017, p.14.

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50. Commission Delegated Regulation (EU) 2017/1943 of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on information and requirements for the authorisation of investment firms ^{M50}.

Marginal Citations

M50 OJ L276, 26.10.2017, p.4.

51. Commission Implementing Regulation (EU) 2017/1944 of 13 June 2017 laying down implementing technical standards with regard to 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 in accordance with Directives 2004/39/EC and 2014/65/EU of the European Parliament and of the Council ^{M51}.

Marginal Citations

M51 OJ L276, 26.10.2017, p.12.

52. Commission Implementing Regulation (EU) 2017/2382 of 14 December 2017 laying down implementing technical standards with regard to standard forms, templates and procedures for the transmission of information in accordance with Directive 2014/65/EU of the EU Parliament and of the Council ^{M52}.

Marginal Citations

M52 OJ L340, 20.12.2017, p.6.

Markets in financial instruments regulation

53. Commission Delegated Regulation (EU) 2016/2020 of 26 May 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on criteria for determining whether derivatives subject to the clearing obligation should be subject to the trading obligation ^{M53}.

Marginal Citations

M53 OJ L313, 19.11.2016, p.2.

54. Commission Delegated Regulation (EU) 2016/2022 of 14 July 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards concerning the information for registration of third-country firms and the format of information to be provided to the clients ^{M54}.

Marginal Citations

M54 OJ L313, 19.11.2016, p.11.

55. Commission Delegated Regulation (EU) 2017/572 of 2 June 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards on the specification of the offering of pre-and post-trade data and the level of disaggregation of data ^{M55}.

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Marginal Citations

M55 OJ L87, 31.3.2017, p.142.

56. Commission Delegated Regulation (EU) 2017/577 of 13 June 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on the volume cap mechanism and the provision of information for the purposes of transparency and other calculations ^{M56}.

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Marginal Citations

M56 OJ L87, 31.3.2017, p.174.

57. Commission Delegated Regulation (EU) 2017/579 of 13 June 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on the direct, substantial and foreseeable effect of derivative contracts within the Union and the prevention of the evasion of rules and obligations ^{M57}.

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Marginal Citations

M57 OJ L87, 31.3.2017, p.189.

58. Commission Delegated Regulation (EU) 2017/580 of 24 June 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the maintenance of relevant data relating to orders in financial instruments ^{M58}.

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Marginal Citations

M58 OJ L87, 31.3.2017, p.193.

59. Commission Delegated Regulation (EU) 2017/583 of 14 July 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on transparency requirements for trading venues and investment firms in respect of bonds, structured finance products, emission allowances and derivatives ^{M59}.

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Marginal Citations

M59 OJ L87, 31.3.2017, p.229.

60. Commission Delegated Regulation (EU) 2017/585 of 14 July 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the data standards and formats for financial instrument reference data and technical measures in relation to arrangements to be made by the European Securities and Markets Authority and competent authorities ^{M60}.

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Changes to legislation: The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018, PART 1 is up to date with all changes known to be in force on or before 09 August 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)

Marginal Citations

M60 OJ L87, 31.3.2017, p.368.

61. Commission Delegated Regulation (EU) 2017/587 of 14 July 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on transparency requirements for trading venues and investment firms in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments and on transaction execution obligations in respect of certain shares on a trading venue or by a systematic internaliser ^{M61}.

Marginal Citations

M61 OJ L87, 31.3.2017, p.387.

62. Commission Delegated Regulation (EU) 2017/590 of 28 July 2016 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the reporting of transactions to competent authorities ^{M62}.

Marginal Citations

M62 OJ L87, 31.3.2017, p.449.

63. Commission Delegated Regulation (EU) 2017/2194 of 14 August 2017 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to package orders ^{M63}.

Marginal Citations

M63 OJ L312, 28.11.2017, p.1.

[^{F4}Money Market Funds Regulation

Textual Amendments

F4 Sch. para. 63A and cross-heading inserted (27.2.2019) by [The Money Market Funds \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/394\)](#), regs. 1(2), 2

63A. Commission Implementing Regulation (EU) 2018/708 of 17 April 2018 laying down implementing technical standards with regard to the template to be used by managers of money market funds when reporting to competent authorities as stipulated by Article 37 of Regulation (EU) 2017/1131 of the European Parliament and of the Council.]

Mortgage Credit Directive

64. Commission Delegated Regulation (EU) 1125/2014 of 19 September 2014 supplementing Directive 2014/17/EU of the European Parliament and of the Council with regard to regulatory technical standards on the minimum monetary amount of the professional indemnity insurance or comparable guarantee to be held by credit intermediaries ^{M64}.

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Marginal Citations

M64 OJ L305, 24.10.2014, p.1.

Packaged Retail and Insurance-Based Investment Products

65. Commission Delegated Regulation (EU) 2017/653 of 8 March 2017 supplementing Regulation (EU) 1286/2014 of the European Parliament and of the Council on key information documents for packaged retail and insurance-based investment products (PRIIPs) by laying down regulatory technical standards with regard to the presentation, content, review and revision of key information documents and the conditions for fulfilling the requirement to provide such documents ^{M65}.

Marginal Citations

M65 OJ L100, 12.4.2017, p.1.

Payment Services Directive

66. Commission Delegated Regulation (EU) 2017/2055 of 23 June 2017 supplementing Directive (EU) 2015/2366 of the European Parliament and of the Council with regard to regulatory technical standards for the cooperation and exchange of information between competent authorities relating to the exercise of the right of establishment and the freedom to provide services of payment institutions ^{M66}.

Marginal Citations

M66 OJ L294, 11.11.2017, p.1.

67. Article 30 (3) and (5) of Commission Delegated Regulation 2018/389 supplementing Directive (EU) 2015/2366 of the European Parliament and of the Council with regard to regulatory technical standards for strong customer authentication and common secure open standards of communication ^{M67}.

Marginal Citations

M67 OJ L69, 13.3.2018, p.23.

Prospectus Directive

68. Commission Delegated Regulation (EU) 382/2014 of 7 March 2014 supplementing Directive [2003/71/EC](#) of the European Parliament and of the Council with regard to regulatory technical standards for publication of supplements to the prospectus ^{M68}.

Marginal Citations

M68 OJ L111, 15.4.2014, p.36.

69. Commission Delegated Regulation (EU) 2016/301 of 30 November 2015 supplementing Directive [2003/71/EC](#) of the European Parliament and of the Council with regard to regulatory

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technical standards for approval and publication of the prospectus and dissemination of advertisements and amending Commission Regulation (EC) 809/2004^{M69}.

Marginal Citations

M69 OJ L58, 4.3.2016, p.13.

Short Selling Regulation

70. Commission Delegated Regulation (EU) 826/2012 of 29 June 2012 supplementing Regulation (EU) 236/2012 of the European Parliament and of the Council with regard to regulatory technical standards on notification and disclosure requirements with regard to net short positions, the details of the information to be provided to the European Securities and Markets Authority in relation to net short positions and the method for calculating turnover to determine exempted shares^{M70}.

Marginal Citations

M70 OJ L251, 18.9.2012, p.1.

71. Commission Implementing Regulation (EU) 827/2012 of 29 June 2012 laying down implementing technical standards with regard to the means for public disclosure of net position in shares, the format of the information to be provided to the European Securities and Markets Authority in relation to net short positions, the types of agreements, arrangements and measures to adequately ensure that shares or sovereign debt instruments are available for settlement and the dates and period for the determination of the principal venue for a share according to Regulation (EU) 236/2012 of the European Parliament and of the Council on short selling and certain aspects of credit default swaps^{M71}.

Marginal Citations

M71 OJ L251, 18.9.2012, p.11.

72. Commission Delegated Regulation (EU) 919/2012 of 5 July 2012 supplementing Regulation (EU) 236/2012 of the European Parliament and of the Council on short selling and certain aspects of credit default swaps with regard to regulatory technical standards for the method of calculation of the fall in value for liquid shares and other financial instruments^{M72}.

Marginal Citations

M72 OJ L274, 9.10.201, p.16.

Transparency Directive

73. Commission Delegated Regulation (EU) 2015/761 of 17 December 2014 supplementing Directive 2004/109/EC of the European Parliament and of the Council with regard to certain regulatory technical standards on major holdings^{M73}.

Marginal Citations

M73 OJ L120, 13.5.2015, p.2.

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74. Commission Delegated Regulation (EU) 2016/1437 of 19 May 2016 supplementing Directive [2004/109/EC](#) of the European Parliament and of the Council with regard to regulatory technical standards on access to regulated information at Union level ^{M74}.

Marginal Citations

M74 OJ L234, 31.8.2016, p.1.

Undertakings for Collective Investment in Transferable Securities

75. Commission Implementing Regulation (EU) 584/2010 of 1 July 2010 implementing Directive [2009/65/EC](#) of the European Parliament and of the Council as regards the form and content of the standard notification letter and UCITS attestation, the use of electronic communication between competent authorities for the purpose of notification, and procedures for on-the-spot verifications and investigations and the exchange of information between competent authorities ^{M75}.

Marginal Citations

M75 OJ L176, 10.7.2010, p.16.

76. Commission Implementing Regulation (EU) 2016/1212 of 25 July 2016 laying down implementing technical standards with regard to standard procedures and forms for submitting information in accordance with Directive [2009/65/EC](#) of the European Parliament and of the Council ^{M76}.

Marginal Citations

M76 OJ L199, 26.7.2016, p.6.

77. Commission Delegated Regulation (EU) 2017/2417 of 17 November 2017 supplementing Regulation (EU) 600/2014 of the European Parliament and of the Council on markets in financial instruments with regard to regulatory technical standards on the trading obligation for certain derivative ^{M77}.

Marginal Citations

M77 OJ L343, 22.12.2017, p.48.

Status:

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Changes to legislation:

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