

## 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<sup>(1)</sup>.

##### 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<sup>(2)</sup>.

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<sup>(3)</sup>.

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 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<sup>(4)</sup>.

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<sup>(5)</sup>.

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<sup>(6)</sup>.

##### 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<sup>(7)</sup>.

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<sup>(8)</sup>.

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(1) OJ L183, 24.6.2014, p.18.

(2) OJ L140, 30.5.2012, p.14.

(3) OJ L140, 30.5.2012, p.32.

(4) OJ L2, 6.1.2015, p.1.

(5) OJ L2, 6.1.2015, p.24.

(6) OJ L2, 6.1.2015, p.57.

(7) OJ L352, 21.12.2012, p.30.

(8) OJ L52, 23.2.2013, p.25.

**Draft Legislation:** This is a draft item of legislation. This draft has since been made as a UK Statutory Instrument:  
*The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 No. 1115*

**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**(9)**.

#### 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**(10)**.

#### 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**(11)**.

#### 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**(12)**.

#### 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**(13)**.

**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**(14)**.

**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**(15)**.

**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**(16)**.

**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

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**(9)** OJ L52, 23.2.2013, p.33.

**(10)** OJ L165, 4.6.2014, p.44.

**(11)** OJ L165, 4.6.2014, p.41.

**(12)** OJ L209, 12.8.2017, p.19.

**(13)** OJ L65, 11.3.2016, p.49.

**(14)** OJ L72, 17.3.2016, p.1.

**(15)** OJ L88, 5.4.2016, p.19.

**(16)** OJ L153, 10.6.2016, p.3.

technical standards for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications<sup>(17)</sup>.

**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 templates to be used for preventing, detecting and reporting abusive practices or suspicious orders or transactions<sup>(18)</sup>.

**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<sup>(19)</sup>.

**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<sup>(20)</sup>.

**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<sup>(21)</sup>.

**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<sup>(22)</sup>.

**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<sup>(23)</sup>.

**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<sup>(24)</sup>.

#### 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<sup>(25)</sup>.

**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

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<sup>(17)</sup> OJ L153, 10.6.2016, p.13.

<sup>(18)</sup> OJ L160, 17.6.2016, p.1.

<sup>(19)</sup> OJ L60, 17.6.2016, p.15.

<sup>(20)</sup> OJ L160, 17.6.2016, p.23.

<sup>(21)</sup> OJ L160, 17.6.2016, p.29.

<sup>(22)</sup> OJ L173, 30.6.2016, p.34.

<sup>(23)</sup> OJ L173, 30.6.2016, p.47.

<sup>(24)</sup> OJ L167, 30.6.2017, p.22.

<sup>(25)</sup> OJ L137, 26.5.2016, p.10.

regard to regulatory technical standards for the ratio of unexecuted orders to transactions in order to prevent disorderly trading conditions(26).

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(27).

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(28).

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(29).

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(30).

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(31).

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(32).

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 regard to regulatory technical standards concerning the data to be published by execution venues on the quality of execution of transactions(33).

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(34).

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(35).

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(36).

(26) OJ L87, 31.3.2017, p.84.

(27) OJ L87, 31.3.2017, p.117.

(28) OJ L87, 31.3.2017, p.122.

(29) OJ L87, 31.3.2017, p.124.

(30) OJ L87, 31.3.2017, p.126.

(31) OJ L87, 31.3.2017, p.145.

(32) OJ L87, 31.3.2017, p.148.

(33) OJ L87, 31.3.2017, p.152.

(34) OJ L87, 31.3.2017, p.166.

(35) OJ L87, 31.3.2017, p.183.

(36) 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(**37**).

**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(**38**).

**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(**39**).

**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(**40**).

**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(**41**).

**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(**42**).

**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(**43**).

**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(**44**).

**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(**45**).

**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(**46**).

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(37) OJ L87, 31.3.2017, p.382.

(38) OJ L87, 31.3.2017, p.411.

(39) OJ L87, 31.3.2017, p.479.

(40) OJ L87, 31.3.2017, p.492.

(41) OJ L144, 7.6.2017, p.12.

(42) OJ L148, 10.6.2017, p.3.

(43) OJ L148, 10.6.2017, p.16.

(44) OJ L149, 13.6.2017, p.3.

(45) OJ L153, 16.6.2017, p.1.

(46) OJ L155, 17.6.2017, p.1.

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**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<sup>(47)</sup>.

**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<sup>(48)</sup>.

**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<sup>(49)</sup>.

**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<sup>(50)</sup>.

**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<sup>(51)</sup>.

**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<sup>(52)</sup>.

#### 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<sup>(53)</sup>.

**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<sup>(54)</sup>.

**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<sup>(55)</sup>.

**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

<sup>(47)</sup> OJ L158, 21.6.2017, p.16.

<sup>(48)</sup> OJ L162, 23.6.2017, p.3.

<sup>(49)</sup> OJ L162, 23.6.2017, p.14.

<sup>(50)</sup> OJ L276, 26.10.2017, p.4.

<sup>(51)</sup> OJ L276, 26.10.2017, p.12.

<sup>(52)</sup> OJ L340, 20.12.2017, p.6.

<sup>(53)</sup> OJ L313, 19.11.2016, p.2.

<sup>(54)</sup> OJ L313, 19.11.2016, p.11.

<sup>(55)</sup> OJ L87, 31.3.2017, p.142.



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(56).

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(57).

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(58).

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(59).

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(60).

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 internalise(61).

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(62).

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(63).

#### 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(64).

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(56) OJ L87, 31.3.2017, p.174.

(57) OJ L87, 31.3.2017, p.189.

(58) OJ L87, 31.3.2017, p.193.

(59) OJ L87, 31.3.2017, p.229.

(60) OJ L87, 31.3.2017, p.368.

(61) OJ L87, 31.3.2017, p.387.

(62) OJ L87, 31.3.2017, p.449.

(63) OJ L312, 28.11.2017, p.1.

(64) 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<sup>(65)</sup>.

### 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<sup>(66)</sup>.

**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<sup>(67)</sup>.

### 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<sup>(68)</sup>.

**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 technical standards for approval and publication of the prospectus and dissemination of advertisements and amending Commission Regulation [\(EC\) 809/2004](#)<sup>(69)</sup>.

### 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<sup>(70)</sup>.

**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<sup>(71)</sup>.

**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

<sup>(65)</sup> OJ L100, 12.4.2017, p.1.

<sup>(66)</sup> OJ L294, 11.11.2017, p.1.

<sup>(67)</sup> OJ L69, 13.3.2018, p.23.

<sup>(68)</sup> OJ L111, 15.4.2014, p.36.

<sup>(69)</sup> OJ L58, 4.3.2016, p.13.

<sup>(70)</sup> OJ L251, 18.9.2012, p.1.

<sup>(71)</sup> OJ L251, 18.9.2012, p.11.



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<sup>(72)</sup>.

#### 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<sup>(73)</sup>.

**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<sup>(74)</sup>.

#### 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<sup>(75)</sup>.

**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<sup>(76)</sup>.

**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<sup>(77)</sup>.

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<sup>(72)</sup> OJ L274, 9.10.201, p.16.

<sup>(73)</sup> OJ L120, 13.5.2015, p.2.

<sup>(74)</sup> OJ L234, 31.8.2016, p.1.

<sup>(75)</sup> OJ L176, 10.7.2010, p.16.

<sup>(76)</sup> OJ L199, 26.7.2016, p.6.

<sup>(77)</sup> OJ L343, 22.12.2017, p.48.