

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

(last updated: 14/06/2016)

	RTS/ITS	Legal Basis	Adoption by the European Commission	Acts as adopted by the Commission English version	Acts as adopted by the Commission German version	Acts as adopted by the Commission French version	End of EP/Council scrutiny	Published in the Official Journal
RTS 1	Transparency requirements for trading venues and investment firms in respect of shares, depositary receipts, exchange-traded funds, certificates and other similar financial instruments	MiFIR Articles 4(6), 7(2), 14(7), 20(3), 22(4) and 23(3)						
RTS 2	Transparency requirements for trading venues and investment firms in respect of bonds, structured finance products, emission allowances and derivatives	MiFIR Articles 1(8), 9(5), 11(4), 21(5) and 22(4)						
RTS 3	The volume cap mechanism and the provision of information for the purposes of transparency and other calculations	MiFIR Articles 5(9) and 22(4)	13/06/2016 C(2016) 2711	<a href="#">RTS 3 in English</a>	<a href="#">RTS 3 in German</a>	<a href="#">RTS 3 in French</a>	13/07/2016	
				<a href="#">Annex to RTS 3 in English</a>	<a href="#">Annex to RTS 3 in German</a>	<a href="#">Annex to RTS 3 in French</a>		
RTS 4	Criteria for determining whether derivatives subject to the clearing obligation should be subject to the trading obligation	MiFIR Article 32(6)	26/05/2016 C(2016) 2710	<a href="#">RTS 4 in English</a>	<a href="#">RTS 4 in German</a>	<a href="#">RTS 4 in French</a>	27/08/2016	
RTS 5	Direct, substantial and foreseeable effect of derivative contracts within the Union	MiFIR Article 28(5)	13/06/2016 C(2016) 3544	<a href="#">RTS 5 in English</a>	<a href="#">RTS 5 in German</a>	<a href="#">RTS 5 in French</a>	13/07/2016	
RTS 6	Specifying the organisational requirements of investment firms engaged in algorithmic trading	MiFID Article 17(7)(a) and (d)						
RTS 7	Specifying organisational requirements of facilities trading venues allowances and derivatives	MiFID Article 48(12)(a),(c) and (g)						
RTS 8	Specifying the requirements on market making agreements and schemes	MiFID Article 17(7)(a), (b) and (c) and Article 48(12)(a) and (f)	13/06/2016 C(2016) 3523	<a href="#">RTS 8 in English</a>	<a href="#">RTS 8 in German</a>	<a href="#">RTS 8 in French</a>	13/07/2016	
RTS 9	The ratio of unexecuted orders to transactions	MiFID Article 48(12)(b)	18/05/2016 C(2016) 2775	<a href="#">RTS 9 in English</a>	<a href="#">RTS 9 in German</a>	<a href="#">RTS 9 in French</a>	18/08/2016	
				<a href="#">Annex to RTS 9 in English</a>	<a href="#">Annex to RTS 9 in German</a>	<a href="#">Annex to RTS 9 in French</a>		

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RTS10	Requirements to ensure fair and non-discriminatory co-location services and fee structures	MiFID Article 48(12)(d)	06/06/2016 C(2016) 3266	<a href="#">RTS 10 in English</a>	<a href="#">RTS 10 in German</a>	<a href="#">RTS 10 in French</a>	06/07/2016	
RTS11	Tick size regime for shares, depositary receipts and, exchange traded funds	MiFID Article 49(3) and (4)						
RTS12	Determination of a material market in terms of liquidity relating to halt notifications	MiFID Article 48(12)(e)	26/05/2016 C(2016) 3020	<a href="#">RTS 12 in English</a>	<a href="#">RTS 12 in German</a>	<a href="#">RTS 12 in French</a>	26/08/2016	
RTS13	Authorization, organisational requirements and the publication of transactions for data reporting services providers	MiFID Articles 61(4), 64(6),(8), 65(6), (8), and 66(5)	02/06/2016 C(2016) 3201	<a href="#">RTS 13 in English</a>	<a href="#">RTS 13 in German</a>	<a href="#">RTS 13 in French</a>	04/07/2016	
RTS14	Specification of the offering of pre-and post-trade data and the level of disaggregation of data	MiFIR Article 12(2)	02/06/2016 C(2016) 3206	<a href="#">RTS 14 in English</a>	<a href="#">RTS 14 in German</a>	<a href="#">RTS 14 in French</a>	04/07/2016	
RTS15	Clearing access in respect of trading venues and central counterparties	MiFIR Articles 35(6) and 36(6)						
RTS16	Access in respect of benchmarks	MiFIR Article 37(4) (a), (b), and (c)	02/06/2016 C(2016) 3203	<a href="#">RTS 16 in English</a>	<a href="#">RTS 16 in German</a>	<a href="#">RTS 16 in French</a>	04/07/2016	
RTS17	Admission of financial instruments to trading on regulated markets	MiFIR 3rd subpara Article 51(6)	24/05/2016 C(2016) 3017	<a href="#">RTS 17 in English</a>	<a href="#">RTS 17 in German</a>	<a href="#">RTS 17 in French</a>	24/08/2016	
RTS18	Suspension and removal of financial instruments from trading reporting services providers	MiFID 10th subpara of Article 32(2) and the 10th subpara of Article 52(2)	24/05/2016 C(2016) 3014	<a href="#">RTS 18 in English</a>	<a href="#">RTS 18 in German</a>	<a href="#">RTS 18 in French</a>	24/08/2016	

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ITS19	Description of the functioning of MTFs and OTFs	MiFID 3rd subpara of Article 18(11)	24/05/2016 C(2016) 3019				N/A	<a href="#">ITS 19 in the Official Journal</a>
RTS20	Criteria to establish when an activity is considered to be ancillary to the main business	MiFID Article 2(4)						
RTS21	Application of position limits to commodity derivatives	MiFID Article 57(3) and (12)						
RTS22	Reporting of transactions to competent authorities	MiFIR 3rd subpara of Article 26(9)						
RTS23	Supply of financial instruments reference data	MiFIR the 3rd subpara of Article 27(3)						
RTS24	Maintenance of relevant data relating to orders in financial instruments	MiFIR 4th subpara of Article 25(3)						
RTS25	Level of accuracy of business clocks	MiFID 3rd subpara of Article 50(2)	07/06/2016 C(2016) 3316	<a href="#">RTS 25 in English</a>	<a href="#">RTS 25 in German</a>	<a href="#">RTS 25 in French</a>	07/07/2016	
				<a href="#">Annex to RTS 25 in English</a>	<a href="#">Annex to RTS 25 in German</a>	<a href="#">Annex to RTS 25 in French</a>		
RTS26	Specifying the obligation to clear derivatives traded on regulated markets and timing of acceptance for clearing (STP)	MiFIR Article 29(3)						
RTS27	Data to be provided by execution venues on the quality of execution of transactions	MiFID point (a) of the 1st subpara of Article 27(10)	08/06/2016 C(2016) 3333/4	<a href="#">RTS 27 in English</a>	<a href="#">RTS 27 in German</a>	<a href="#">RTS 27 in French</a>	08/07/2016	
				<a href="#">Annex to RTS 27 in English</a>	<a href="#">Annex to RTS 27 in German</a>	<a href="#">Annex to RTS 27 in French</a>		
RTS28	Annual publication by investment firms of information on the identity of execution venues and on the quality of execution	MiFID point (b) of the 1st subpara of Article 27(10)	08/07/2016 C(2016) 3337/3	<a href="#">RTS 28 in English</a>	<a href="#">RTS 28 in German</a>	<a href="#">RTS 28 in French</a>	08/07/2016	
				<a href="#">Annex to RTS 28 in English</a>	<a href="#">Annex to RTS 28 in German</a>	<a href="#">Annex to RTS 28 in French</a>		

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RTS	Authorisation	MiFID Article 7(4)					
ITS	Authorisation	MIFID 3rd subpara of Article 7(5)					
RTS	Passporting	MiFID 3rd subpara of Articles 34(8) and the 3rd subpara of Article 35(11)					
ITS	Passporting	MiFID Articles 34(9) and 35(12)					
RTS	Cooperation between authorities	MiFIR Article 46(7)					
RTS	Registration of third country firms	MiFID Article 80(3)					

RTS	An exhaustive list of information to be included by proposed acquirers in the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article 10(a)(8)					
ITS	Standard forms, templates and procedures for the consultation process between relevant competent authorities in relation to the notification of a proposed acquisition of a qualifying holding in an investment firm	MiFID I Article					