

# Links to key regulatory requirements



Institution	Type	Name	Reference	Date	URL
FCA	Minutes	MiFID II Implementation Roundtable		17/07/2015	<a href="https://www.fca.org.uk/your-fca/documents/mifid-ii-implementation-roundtable-minutes-17-july-2015">https://www.fca.org.uk/your-fca/documents/mifid-ii-implementation-roundtable-minutes-17-july-2015</a>
ESMA	Technical Standards	Draft Technical Standards on authorisation, passporting, registration of third country firms and cooperation between competent authorities	2015/1006	29/06/2015	<a href="https://www.esma.europa.eu/system/files/2015-esma-1006_-_mifid_ii_final_report_on_mifid_ip_technical_standards.pdf">https://www.esma.europa.eu/system/files/2015-esma-1006_-_mifid_ii_final_report_on_mifid_ip_technical_standards.pdf</a>
FCA	Minutes	MiFID II Implementation Roundtable		08/06/2015	<a href="https://www.fca.org.uk/your-fca/documents/mifid-ii-implementation-roundtable-minutes-8-june-2015">https://www.fca.org.uk/your-fca/documents/mifid-ii-implementation-roundtable-minutes-8-june-2015</a>
ESMA	Consultation paper	Draft guidelines for the assessment of knowledge and competence	2015/753	23/04/2015	<a href="http://www.esma.europa.eu/system/files/2015-753_cp_mifid_guidelines_on_knowledge_and_competence.pdf">http://www.esma.europa.eu/system/files/2015-753_cp_mifid_guidelines_on_knowledge_and_competence.pdf</a>
FCA	Discussion paper	Developing our approach to implementing MiFID II conduct of business and organisational requirements	DP15/3	26/03/2015	<a href="https://www.fca.org.uk/news/dp15-03-mifid-ii-approach">https://www.fca.org.uk/news/dp15-03-mifid-ii-approach</a>
ESMA	Consultation paper	Draft guidelines on complex debt instruments and structured deposits	2015/610	24/03/2015	<a href="http://www.esma.europa.eu/system/files/2015-610_cp_mifid_guidelines_complex_products.pdf">http://www.esma.europa.eu/system/files/2015-610_cp_mifid_guidelines_complex_products.pdf</a>
ESMA	Peer Review Report	Best Execution under MiFID	2015/494	25/02/2015	<a href="https://www.esma.europa.eu/system/files/2015-494_peer_review_report_on_best_execution_under_mifid.pdf">https://www.esma.europa.eu/system/files/2015-494_peer_review_report_on_best_execution_under_mifid.pdf</a>

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FCA	Feedback Statement	Discussion on the use of dealing commission	FS15/1	19/02/2015	<a href="https://www.fca.org.uk/your-fca/documents/feedback-statements/fs15-01">https://www.fca.org.uk/your-fca/documents/feedback-statements/fs15-01</a>
ESMA	Abbandum Consultation Paper		2015/319	18/02/2015	<a href="http://www.esma.europa.eu/system/files/2015-319_cp_addendum_mifid_ii-mifir.pdf">http://www.esma.europa.eu/system/files/2015-319_cp_addendum_mifid_ii-mifir.pdf</a>
ESMA	Consultation paper		2014/1570 Annex A	22/12/2014	<a href="http://www.esma.europa.eu/system/files/consultation_paper-annex_a_cba_final.pdf">http://www.esma.europa.eu/system/files/consultation_paper-annex_a_cba_final.pdf</a>
ESMA	Consultation paper		2014/1570 Annex B	22/12/2014	<a href="http://www.esma.europa.eu/system/files/2014-1570_cp_mifid_ii_part_2.pdf">http://www.esma.europa.eu/system/files/2014-1570_cp_mifid_ii_part_2.pdf</a>
ESMA	Consultation paper		2014/1570	19/12/2014	<a href="http://www.esma.europa.eu/system/files/2014-1570_cp_mifid_ii.pdf">http://www.esma.europa.eu/system/files/2014-1570_cp_mifid_ii.pdf</a>
ESMA	Technical Advise	ESMA's Technical Advice to the Commission on MiFID II and MiFIR	2014/1569	19/12/2014	<a href="http://www.esma.europa.eu/system/files/2014-1569_final_report_-_esmas_technical_advice_to_the_commission_on_mifid_ii_and_mifir.pdf">http://www.esma.europa.eu/system/files/2014-1569_final_report_-_esmas_technical_advice_to_the_commission_on_mifid_ii_and_mifir.pdf</a>
ESMA	Consultation paper		2014/549	22/05/2014	<a href="http://www.esma.europa.eu/system/files/2014-549_-_consultation_paper_mifid_ii_-_mifir.pdf">http://www.esma.europa.eu/system/files/2014-549_-_consultation_paper_mifid_ii_-_mifir.pdf</a>
ESMA	Discussion paper		2014/548	22/05/2014	<a href="http://www.esma.europa.eu/system/files/2014-548_discussion_paper_mifid-mifir.pdf">http://www.esma.europa.eu/system/files/2014-548_discussion_paper_mifid-mifir.pdf</a>
EU	Level I regulatory document	MiFID II	2014-65-EU	15/05/2014	<a href="http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014R0600&amp;from=EN">http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014R0600&amp;from=EN</a>
EU	Level I regulatory document	MiFIR	600-2014	15/05/2014	<a href="http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014L0065&amp;from=EN">http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014L0065&amp;from=EN</a>