



Brussels, 10 February 2020
(OR. en)

5947/20

Interinstitutional File:
2017/0230(COD)

EF 17
ECOFIN 68
SURE 2
CODEC 90

INFORMATION NOTE

From:	General Secretariat of the Council
To:	Delegations
No. Cion doc.:	COM(2017) 536 final
Subject:	Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL Amending Regulation (EU) No 1093/2010 establishing a European Supervisory Authority (European Banking Authority); Regulation (EU) No 1094/2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority); Regulation (EU) No 1095/2010 establishing a European Supervisory Authority (European Securities and Markets Authority); Regulation (EU) No 345/2013 on European venture capital funds; Regulation (EU) No 346/2013 on European social entrepreneurship funds; Regulation (EU) No 600/2014 on markets in financial instruments; Regulation (EU) 2015/760 on European long-term investment funds; Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds; and Regulation (EU) 2017/1129 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market - list of working papers (WK) distributed

The following working papers (WK) were distributed by the General Secretariat of the Council with regard to the above file:

Reference	Creation date	Subject
WK 5631 2019 INIT	03/05/2019	Financial services files expected to undergo the Corrigendum Procedure in the European Parliament

WK 3793 2019 INIT	15/03/2019	Presidency Flash Note 14 March
WK 3792 2019 INIT	15/03/2019	PCY Proposal on non action letters
WK 3791 2019 INIT	15/03/2019	Agenda (15 March 2019)
WK 3339 2019 INIT	07/03/2019	Agenda (7 March 2019)
WK 3337 2019 INIT	07/03/2019	BoUI - thematic fiche
WK 3336 2019 INIT	07/03/2019	Whistleblower - thematic fiche
WK 3335 2019 INIT	07/03/2019	Third countries trading venues and CSDs - thematic fiche
WK 3334 2019 INIT	07/03/2019	Supervisory culture art 29 and 29a - thematic fiche
WK 3333 2019 INIT	07/03/2019	Stress test - thematic fiche
WK 3332 2019 INIT	07/03/2019	Prospectuses - thematic fiche
WK 3331 2019 INIT	07/03/2019	Transparency accountability - thematic fiche
WK 3329 2019 INIT	07/03/2019	Stakeholder groups - thematic fiche
WK 3327 2019 INIT	07/03/2019	Settlement of disagreements art 19 - thematic fiche
WK 3326 2019 INIT	07/03/2019	RTS + ITS - thematic fiche
WK 3325 2019 INIT	07/03/2019	Proportionality - thematic fiche

WK 3323 2019 INIT	07/03/2019	Peer reviews - thematic fiche
WK 3321 2019 INIT	07/03/2019	Benchmarks - thematic fiche
WK 3317 2019 INIT	07/03/2019	Outsourcing and delegation
WK 3316 2019 INIT	07/03/2019	No action letters - technical fiche
WK 3315 2019 INIT	07/03/2019	International role - technical fiche
WK 3314 2019 INIT	07/03/2019	Information collection + fines - technical fiche
WK 3313 2019 INIT	07/03/2019	Guidelines and recommendations - technical fiche
WK 3312 2019 INIT	07/03/2019	Governance - thematic fiche
WK 3309 2019 INIT	07/03/2019	Funding - technical fiche
WK 3307 2019 INIT	07/03/2019	ESMA Market abuse - technical fiche
WK 3306 2019 INIT	07/03/2019	ESG - thematic fiche
WK 3304 2019 INIT	07/03/2019	EIOPA internal models - thematic fiche
WK 3303 2019 INIT	07/03/2019	EIOPA Cooperation platforms - thematic fiche
WK 3300 2019 INIT	07/03/2019	Data providers - thematic fiche
WK 3298 2019 INIT	07/03/2019	Consumer protection - thematic fiche

WK 3289 2019 INIT	07/03/2019	Board of appeal - thematic fiche
WK 3288 2019 INIT	07/03/2019	AML - thematic fiche
WK 3287 2019 INIT	07/03/2019	Accountability - thematic fiche
WK 3286 2019 INIT	07/03/2019	ESFS review - Key issues for final agreement
WK 2913 2019 INIT	28/02/2019	3rd Trilogue: Wednesday, 27 February 2019, DRAFT AGENDA
WK 2912 2019 INIT	28/02/2019	Commission Non Paper ESFS Review
WK 2910 2019 INIT	28/02/2019	Working Party on Financial Services (ESFS review package) AGENDA
WK 2759 2019 REV 1	25/02/2019	Working Party on Financial Services (ESFS review package – AML part) 26 February 2019 - Agenda
WK 2762 2019 INIT	25/02/2019	Presidency note - (AML possible compromise)
WK 2759 2019 INIT	25/02/2019	Working Party on Financial Services (ESFS review package – non-AML part) 26 February 2019 - Agenda
WK 2715 2019 INIT	25/02/2019	PRESIDENCY FLASH NOTE
WK 2413 2019 ADD 1	19/02/2019	ANNEX to Presidency Note - EP only and political vs. technical
WK 2413 2019 INIT	19/02/2019	Presidency Note - EP only and political vs. technical
WK 2412 2019 INIT	19/02/2019	Presidency Note - AML

WK 2411 2019 INIT	19/02/2019	Agenda (20 February 2019)
WK 2133 2019 INIT	13/02/2019	Draft Agenda ESFS Review - 2017/0230(COD), 2017/0231 (COD), 2017/0232 (COD) 1st Trilogue: Thursday, 14 February 2019, 09.00-12.00
WK 1368 2019 INIT	30/01/2019	Agenda (31 January 2019)
WK 1312 219 INIT	30/01/2019	Presidency Note
WK 320 2019 INIT	10/01/2019	Presidency note
WK 316 2019 INIT	10/01/2019	Agenda (11 January 2019)
WK 15668 2018 INIT	17/12/2018	ESAs review (non-AML) Presidency compromise proposal
WK 15561 2018 INIT	13/12/2018	Presidency compromise proposal on AML
WK 15423 2018 INIT	11/12/2018	AML compromise proposal non-paper
WK 15422 2018 INIT	11/12/2018	Presidency compromise
WK 15195 2018 INIT	05/12/2018	Presidency explanatory note

WK 15182 2018 INIT	05/12/2018	Amended proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulation (EU) No 1093/2010 establishing a European Supervisory Authority (European Banking Authority); Regulation (EU) No 1094/2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority); Regulation (EU) No 1095/2010 establishing a European Supervisory Authority (European Securities and Markets Authority); Regulation (EU) No 345/2013 on European venture capital funds; Regulation (EU) No 346/2013 on European social entrepreneurship funds; Regulation (EU) No 600/2014 on markets in financial instruments; Regulation (EU) 2015/760 on European long-term investment funds; Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds; Regulation (EU) 2017/1129 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market; and (EU) Directive 2015/849 on the prevention of the use of the financial system for the purposes of money-laundering or terrorist financing - Presidency compromise
WK 15157 2018 INIT	05/12/2018	Presidency Note on ESFS: Preparation of the next COREPER
WK 15154 2018 INIT	05/12/2018	Working Party on Financial Services ESFS Review package 7 December Draft Agenda
WK 15119 2018 INIT	04/12/2018	ESA AML compromise proposal
WK 14878 2018 REV 1	30/11/2018	ESA Presidency compromise
WK 14878 2018 INIT	30/11/2018	EBA Presidency compromise

WK 14877 2018 INIT	30/11/2018	Draft Agenda (3 December 2018)
WK 14751 2018 INIT	28/11/2018	AML Compromise proposal - Presidency explanatory note
WK 14655 2018 INIT	27/11/2018	AML Compromise proposal
WK 14637 2018 INIT	27/11/2018	Agenda (30 November 2018)
WK 14180 2018 INIT	20/11/2018	ESA review - Article 9b requests for investigation Commission non-paper
WK 14130 2018 INIT	19/11/2018	Presidency explanatory note on changes to the permanent internal committee on anti-money laundering (AML) and countering terrorist financing (CFT)
WK 14014 2018 INIT	16/11/2018	AML landing zone - Annex
WK 14006 2018 INIT	16/11/2018	AML landing zone - Presidency explanatory note
WK 14002 2018 INIT	16/11/2018	Draft Agenda (22 November 2018)
WK 13943 2018 INIT	15/11/2018	Funding: possible dynamics
WK 13555 2018 INIT	08/11/2018	Presidency explanatory note
WK 13510 2018 INIT	07/11/2018	Presidency proposal for compromise
WK 13417 2018 INIT	06/11/2018	Draft Agenda (12 November 2018)
WK 12844 2018 INIT	24/10/2018	Structure of the discussion on agenda item 2

WK 12725 2018 INIT	23/10/2018	EBA governance in resolution matters
WK 12724 2018 INIT	23/10/2018	Commission Services Non-Paper
WK 12723 2018 INIT	23/10/2018	Explanatory Note Annex
WK 12721 2018 INIT	23/10/2018	Presidency explanatory note regarding the amendments to the main elements of a compromise
WK 12720 2018 INIT	23/10/2018	Working Party on Financial Services ESFS Review package 26 October Draft Agenda
WK 10913 2018 INIT	20/09/2018	FR Non Paper Forebearance Mechanism
WK 10911 2018 INIT	20/09/2018	Annex ESA landing zone
WK 10909 2018 INIT	20/09/2018	ESA Landing Zone - Non-paper on the main elements of a compromise
WK 6008 2018 INIT	18/05/2018	Direct Supervisory Roles for ESMA (Articles 4-9 of the Omnibus Regulation)
WK 6007 2018 INIT	18/05/2018	ESAs' Governance
WK 6006 2018 INIT	18/05/2018	ESAs' Tasks and Powers
WK 6005 2018 INIT	18/05/2018	Working Party on Financial Services - ESFS Review package 23 May (10.00) Draft Agenda
WK 4024 2018 INIT	06/04/2018	Draft Agenda - Working Party on Financial Services - ESFS Review package
WK 1008 2018 INIT	29/01/2018	Working Party on Financial Services - ESFS Review package on January 30, 2018 (10.00) - Draft Agenda

WK 1006 2018 INIT	29/01/2018	Commission Services Non paper - ESAs and the Supervisory Strategic Plan
WK 1005 2018 INIT	29/01/2018	Commission Services Non-paper - Collection of information
WK 208 2018 INIT	11/01/2018	Draft Agenda - Working Party on Financial Services (ESFS Review package) on January 17, 2018 (10:00)
WK 13098 2017 INIT	14/11/2017	Governance presentation
WK 13097 2017 INIT	14/11/2017	EUVECA, EUSEF and ELTIF presentation
WK 12548 2017 INIT	06/11/2017	Working Party on Financial Services - ESFS Review package on November 13, 2017 (10.00) - Agenda
WK 11736 2017 INIT	20/10/2017	Review of the European Supervisory Authorities - presentation
WK 11713 2017 INIT	19/10/2017	Agenda of the Working Party on Financial Services - ESFS Review package on 18 October 2017
