



Brussels, 23 July 2020
(OR. en)

9857/20

Interinstitutional File:
2017/0358 (COD)

EF 162
ECOFIN 646
CODEC 662

INFORMATION NOTE

From:	General Secretariat of the Council
To:	Delegations
No. Cion doc.:	COM(2017) 791 final
Subject:	Proposal for a DIRECTIVE OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the prudential supervision of investment firms and amending Directives 2013/36/EU and 2014/65/EU - 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 No.	Creation Date	Subject
WK 945 2018 INIT	26/01/2018	Review of prudential rules for investment firms - Commission presentation
WK 1915 2018 INIT	15/02/2018	IFS agenda 22 February 2018
WK 3404 2018 INIT	19/03/2018	Agenda (27 March 2018)
WK 3407 2018 INIT	19/03/2018	Agenda (25 January 2018)
WK 5690 2018 INIT	14/05/2018	Draft Agenda 17 May 2018
WK 5691 2018 INIT	14/05/2018	Presidency non-paper on some reporting provisions and competent authorities
WK 5692 2018 INIT	14/05/2018	Review of prudential framework for investment firms K-factors for risks to customers - Commission services non-paper
WK 5694 2018 INIT	14/05/2018	Legal impact of the new definition of a credit institution - Commission services non-paper

Reference No.	Creation Date	Subject
WK 5695 2018 INIT	14/05/2018	Article 7 of IFR: The purpose and workings of the group capital test - UK non-paper
WK 5696 2018 INIT	14/05/2018	Article 7a Group capital requirements - UK non-paper
WK 5697 2018 INIT	14/05/2018	GCT Illustrations - UK presentation
WK 5698 2018 INIT	14/05/2018	Reviewing the wholesale third-country regime of MiFIR - FR non-paper
WK 5700 2018 INIT	14/05/2018	ANNEX to FR non-paper
WK 7550 2018 INIT	20/06/2018	Agenda 25 June 2018
WK 7551 2018 INIT	20/06/2018	Towards an appropriate definition of class 1 investment firms – French non-paper
WK 7552 2018 INIT	20/06/2018	Class 1 investment firms - CZ non-paper
WK 7553 2018 INIT	20/06/2018	Class 3 classification (incl. initial capital and zero thresholds) - CZ non-paper
WK 7556 2018 INIT	20/06/2018	Calculation of the K-factors - Joint Germany / Czech Republic / United Kingdom non-paper
WK 7559 2018 INIT	20/06/2018	New definition of a Credit Institution - Commission services non-paper
WK 7562 2018 INIT	20/06/2018	Presidency discussion paper on classification of “small and non-systemic” investment firms and proportionality - non-paper
WK 7602 2018 INIT	20/06/2018	Design of a New Prudential Framework for MiFID Investment Firms: Objectives, categorisation and Impact - Presentation
WK 7680 2018 INIT	22/06/2018	An appropriate regime for class 2 trading firms - FR non-paper
WK 9695 2018 INIT	24/08/2018	NON-PAPER ON HOLDING CLIENT MONEY
WK 9697 2018 INIT	24/08/2018	NON-PAPER ON K-FACTORS FOR RISK-TO-MARKET (RtM)
WK 9698 2018 INIT	24/08/2018	Draft Agenda for the 3 September meeting of the Working Party on Investment Firms Supervision (IFS)
WK 9698 2018 REV 1	29/08/2018	Final Agenda - Working Party on Investment Firms Supervision (IFS) 3 September 2018
WK 9786 2018 INIT	29/08/2018	Package on proportionality - Non-paper n°2: Proportionality in the Investment Firms Directive

Reference No.	Creation Date	Subject
WK 9786 2018 REV 1	30/08/2018	Package on proportionality - UK, BE, CZ Non-paper n°2: Proportionality in the Investment Firms Directive
WK 9887 2018 INIT	30/08/2018	Presentation by the EBA Considerations about Class I categorisation in IFR/IFD
WK 9888 2018 INIT	30/08/2018	ECB Staff-Level Non-Paper – Potential Class 1 Investment Firms
WK 9889 2018 INIT	30/08/2018	Presentation by the ECB Investment Firms Regulation Proposal: key findings
WK 10740 2018 INIT	18/09/2018	Reviewing the third-country regime of MiFIR
WK 10742 2018 INIT	18/09/2018	Non-paper on K-CON
WK 10780 2018 INIT	18/09/2018	Draft Agenda (20 September 2018)
WK 10781 2018 INIT	18/09/2018	Non-paper on K-TCD
WK 10783 2018 INIT	18/09/2018	Germany - Non-paper on Fixed Overheads Requirement (FOR)
WK 10832 2018 INIT	19/09/2018	Technical issues to help clarify the application and ease the burden of the classification requirements (between class 2 and class 3)
WK 10837 2018 INIT	19/09/2018	Proportionality in the IFS: Additional simplifications for Class 3 firms DE non-paper
WK 10838 2018 INIT	19/09/2018	Amendments to the Commission proposal on counterparty credit risk and credit valuation adjustment. - Italian non-paper on Investment Firms Regulation
WK 11492 2018 INIT	02/10/2018	ECB Opinion on the Investments Firms Review
WK 11982 2018 INIT	09/10/2018	Draft Agenda (15 October 2018)
WK 11984 2018 INIT	09/10/2018	Presidency Non-Paper Proposal for Compromise (IFD)
WK 11985 2018 INIT	09/10/2018	Presidency Non-Paper Proposal for Compromise (IFR)
WK 11988 2018 INIT	09/10/2018	Presidency Non-Paper Group Capital Test: Additional redrafting suggestions (to be incorporated in the draft compromise text)
WK 11989 2018 INIT	09/10/2018	Presidency Non-Paper Change in the scope of CRR/CRD term “institution”
WK 11982 2018 REV 1	10/10/2018	Revised draft Agenda (15 October 2018)
WK 12052 2018 INIT	10/10/2018	UK non-paper Remuneration: deferral and pay-out in instruments thresholds

Reference No.	Creation Date	Subject
WK 13676 2018 INIT	09/11/2018	Draft Agenda (16 November)
WK 13729 2018 ADD 2	12/11/2018	Presidency Non-Paper - Presidency compromise proposal for IFS Directive
WK 13729 2018 INIT	12/11/2018	Presidency Non-Paper - Proposal for Compromise (IFR and IFD)
WK 13939 2018 INIT	15/11/2018	K-CMG case study from the French delegation
WK 14826 2018 INIT	29/11/2018	30 November 2018 Working Party Financial Services – Investment Firms Supervision - DRAFT AGENDA
WK 14828 2018 ADD 1	29/11/2018	PRESIDENCY COMPROMISE PROPOSAL, 28 November 2018 Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the prudential requirements of investment firms and amending Regulations (EU) No 575/2013, (EU) No 600/2014 and (EU) No 1093/2010
WK 14828 2018 ADD 2	29/11/2018	PRESIDENCY COMPROMISE PROPOSAL, 28 November 2018 Proposal for a DIRECTIVE OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the prudential supervision of investment firms and amending Directives 2013/36/EU and 2014/65/EU
WK 14828 2018 INIT	29/11/2018	Presidency Non-Paper Proposal for Compromise (IFR and IFD)
WK 14830 2018 INIT	29/11/2018	CZ/UK Non-paper on K-TCD November 2018
WK 14831 2018 INIT	29/11/2018	DE / CZ / UK Non-paper on RtM K-factors November 2018
WK 14834 2018 INIT	29/11/2018	DE / UK Non-Paper November 2018b Text Proposal
WK 14836 2018 INIT	29/11/2018	France Non-Paper Own fund requirements for exposures to a central counterparty – Council WP on Financial Services (IFS)
WK 14850 2018 INIT	29/11/2018	Overview of supervision blind spots in the wholesale third-country regime of MiFIR
WK 15241 2018 INIT	06/12/2018	Agenda (10 December 2018)
WK 15242 2018 ADD 1	06/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package
WK 15242 2018 ADD 1 REV 1	06/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package
WK 15242 2018 ADD 2	06/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package
WK 15242 2018 ADD 2 REV 1	06/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package

Reference No.	Creation Date	Subject
WK 15242 2018 INIT	06/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package
WK 15504 2018 INIT	12/12/2018	Presidency Non-Paper: Proposal for compromise for the Investment Firms Supervision package
WK 15504 2018 ADD 1	13/12/2018	Presidency Non-Paper: Proposal for Compromise for the Investment Firms Supervision package
WK 15504 2018 ADD 2	13/12/2018	Presidency Non-Paper: Proposal for compromise for the Investment Firms Supervision package
WK 1243 2019 INIT	28/01/2019	Draft Agenda (30 January 2019)
WK 1264 2019 INIT	28/01/2019	IFR: Presidency note on specific issues
WK 1266 2019 INIT	28/01/2019	IFD/IFR - EP only amendments
WK 1888 2019 INIT	08/02/2019	Agenda (11 February 2019)
WK 1889 2019 INIT	08/02/2019	Presidency Note
WK 1938 2019 INIT	08/02/2019	MiFIR Third-Country regime: New tasks allocated to ESMA by the Council General Approach and potential impact on ESMA resources - Commission Services Non-Paper
WK 2499 2019 INIT	20/02/2019	Agenda (21 February 2019)
WK 2506 2019 INIT	20/02/2019	Note on compromise package
WK 5631 2019 INIT	03/05/2019	Financial services files expected to undergo the Corrigendum Procedure in the European Parliament