

DECISION OF THE EEA JOINT COMMITTEE**No 306/2019****of 13 December 2019****amending Annex IX (Financial Services) to the EEA Agreement [2020/324]**

THE EEA JOINT COMMITTEE,

Having regard to the Agreement on the European Economic Area ('the EEA Agreement'), and in particular Article 98 thereof,

Whereas:

- (1) Commission Delegated Regulation (EU) 2016/522 of 17 December 2015 supplementing Regulation (EU) No 596/2014 of the European Parliament and of the Council as regards an exemption for certain third countries public bodies and central banks, the indicators of market manipulation, the disclosure thresholds, the competent authority for notifications of delays, the permission for trading during closed periods and types of notifiable managers' transactions ⁽¹⁾ is to be incorporated into the EEA Agreement.
- (2) Commission Delegated Regulation (EU) 2016/908 of 26 February 2016 supplementing Regulation (EU) No 596/2014 of 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 ⁽²⁾ is to be incorporated into the EEA Agreement.
- (3) Commission Delegated Regulation (EU) 2016/909 of 1 March 2016 supplementing Regulation (EU) No 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications ⁽³⁾ is to be incorporated into the EEA Agreement.
- (4) Commission Delegated Regulation (EU) 2016/957 of 9 March 2016 supplementing Regulation (EU) No 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 ⁽⁴⁾ is to be incorporated into the EEA Agreement.
- (5) Commission Delegated Regulation (EU) 2016/958 of 9 March 2016 supplementing Regulation (EU) No 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 ⁽⁵⁾, as corrected by OJ L 110, 27.4.2017, p. 9, is to be incorporated into the EEA Agreement.
- (6) Commission Delegated Regulation (EU) 2016/960 of 17 May 2016 supplementing Regulation (EU) No 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 ⁽⁶⁾ is to be incorporated into the EEA Agreement.
- (7) Commission Delegated Regulation (EU) 2016/1052 of 8 March 2016 supplementing Regulation (EU) No 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 ⁽⁷⁾ is to be incorporated into the EEA Agreement.

⁽¹⁾ OJ L 88, 5.4.2016, p. 1.

⁽²⁾ OJ L 153, 10.6.2016, p. 3.

⁽³⁾ OJ L 153, 10.6.2016, p. 13.

⁽⁴⁾ OJ L 160, 17.6.2016, p. 1.

⁽⁵⁾ OJ L 160, 17.6.2016, p. 15.

⁽⁶⁾ OJ L 160, 17.6.2016, p. 29.

⁽⁷⁾ OJ L 173, 30.6.2016, p. 34.

- (8) Commission Delegated Regulation (EU) 2019/461 of 30 January 2019 amending Delegated Regulation (EU) 2016/522 as regards the exemption of the Bank of England and the United Kingdom Debt Management Office from the scope of Regulation (EU) No 596/2014 of the European Parliament and of the Council ⁽⁸⁾, as corrected by OJ L 103, 12.4.2019, p. 61, is to be incorporated into the EEA Agreement.
- (9) 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) No 596/2014 of the European Parliament and of the Council ⁽⁹⁾ is to be incorporated into the EEA Agreement.
- (10) 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) No 596/2014 of the European Parliament and of the Council ⁽¹⁰⁾ is to be incorporated into the EEA Agreement.
- (11) 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) No 596/2014 of the European Parliament and of the Council ⁽¹¹⁾ is to be incorporated into the EEA Agreement.
- (12) 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) No 596/2014 of the European Parliament and of the Council ⁽¹²⁾ is to be incorporated into the EEA Agreement.
- (13) 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) No 596/2014 of the European Parliament and of the Council ⁽¹³⁾ is to be incorporated into the EEA Agreement.
- (14) 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 as referred to in Article 33 of Regulation (EU) No 596/2014 of the European Parliament and of the Council ⁽¹⁴⁾ is to be incorporated into the EEA Agreement.
- (15) Commission Implementing Regulation (EU) 2018/292 of 26 February 2018 laying down implementing technical standards with regard to procedures and forms for exchange of information and assistance between competent authorities according to Regulation (EU) No 596/2014 of the European Parliament and of the Council on market abuse ⁽¹⁵⁾ is to be incorporated into the EEA Agreement.
- (16) Commission Implementing Directive (EU) 2015/2392 of 17 December 2015 on Regulation (EU) No 596/2014 of the European Parliament and of the Council as regards reporting to competent authorities of actual or potential infringements of that Regulation ⁽¹⁶⁾ is to be incorporated into the EEA Agreement.
- (17) Annex IX to the EEA Agreement should therefore be amended accordingly,

⁽⁸⁾ OJ L 80, 22.3.2019, p. 10.

⁽⁹⁾ OJ L 65, 11.3.2016, p. 49.

⁽¹⁰⁾ OJ L 72, 17.3.2016, p. 1.

⁽¹¹⁾ OJ L 88, 5.4.2016, p. 19.

⁽¹²⁾ OJ L 160, 17.6.2016, p. 23.

⁽¹³⁾ OJ L 173, 30.6.2016, p. 47.

⁽¹⁴⁾ OJ L 167, 30.6.2017, p. 22.

⁽¹⁵⁾ OJ L 55, 27.2.2018, p. 34.

⁽¹⁶⁾ OJ L 332, 18.12.2015, p. 126.

HAS ADOPTED THIS DECISION:

Article 1

The following points are inserted after point 29ac (deleted) of Annex IX to the EEA Agreement:

- '29ad. **32015 L 2392**: Commission Implementing Directive (EU) 2015/2392 of 17 December 2015 on Regulation (EU) No 596/2014 of the European Parliament and of the Council as regards reporting to competent authorities of actual or potential infringements of that Regulation (OJ L 332, 18.12.2015, p. 126).
- 29ae. **32016 R 0347**: 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) No 596/2014 of the European Parliament and of the Council (OJ L 65, 11.3.2016, p. 49).
- 29af. **32016 R 0378**: 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) No 596/2014 of the European Parliament and of the Council (OJ L 72, 17.3.2016, p. 1).
- 29ag. **32016 R 0522**: Commission Delegated Regulation (EU) 2016/522 of 17 December 2015 supplementing Regulation (EU) No 596/2014 of the European Parliament and of the Council as regards an exemption for certain third countries public bodies and central banks, the indicators of market manipulation, the disclosure thresholds, the competent authority for notifications of delays, the permission for trading during closed periods and types of notifiable managers' transactions (OJ L 88, 5.4.2016, p. 1), as amended by:
- **32019 R 0461**: Commission Delegated Regulation (EU) 2019/461 of 30 January 2019 (OJ L 80, 22.3.2019, p. 10), as corrected by OJ L 103, 12.4.2019, p. 61.
- 29ah. **32016 R 0523**: 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) No 596/2014 of the European Parliament and of the Council (OJ L 88, 5.4.2016, p. 19).
- 29ai. **32016 R 0908**: Commission Delegated Regulation (EU) 2016/908 of 26 February 2016 supplementing Regulation (EU) No 596/2014 of 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 (OJ L 153, 10.6.2016, p. 3).
- 29aj. **32016 R 0909**: Commission Delegated Regulation (EU) 2016/909 of 1 March 2016 supplementing Regulation (EU) No 596/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the content of notifications to be submitted to competent authorities and the compilation, publication and maintenance of the list of notifications (OJ L 153, 10.6.2016, p. 13).
- 29ak. **32016 R 0957**: Commission Delegated Regulation (EU) 2016/957 of 9 March 2016 supplementing Regulation (EU) No 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 (OJ L 160, 17.6.2016, p. 1).
- 29al. **32016 R 0958**: Commission Delegated Regulation (EU) 2016/958 of 9 March 2016 supplementing Regulation (EU) No 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 (OJ L 160, 17.6.2016, p. 15), as corrected by OJ L 110, 27.4.2017, p. 9.

- 29am. **32016 R 0959**: 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) No 596/2014 of the European Parliament and of the Council (OJ L 160, 17.6.2016, p. 23).
- 29an. **32016 R 0960**: Commission Delegated Regulation (EU) 2016/960 of 17 May 2016 supplementing Regulation (EU) No 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 (OJ L 160, 17.6.2016, p. 29).
- 29ao. **32016 R 1052**: Commission Delegated Regulation (EU) 2016/1052 of 8 March 2016 supplementing Regulation (EU) No 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 (OJ L 173, 30.6.2016, p. 34).
- 29ap. **32016 R 1055**: 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) No 596/2014 of the European Parliament and of the Council (OJ L 173, 30.6.2016, p. 47).
- 29aq. **32017 R 1158**: 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 as referred to in Article 33 of Regulation (EU) No 596/2014 of the European Parliament and of the Council (OJ L 167, 30.6.2017, p. 22).
- 29ar. **32018 R 0292**: Commission Implementing Regulation (EU) 2018/292 of 26 February 2018 laying down implementing technical standards with regard to procedures and forms for exchange of information and assistance between competent authorities according to Regulation (EU) No 596/2014 of the European Parliament and of the Council on market abuse (OJ L 55, 27.2.2018, p. 34).'

Article 2

The texts of Delegated Regulations (EU) 2016/522, (EU) 2016/908, (EU) 2016/909, (EU) 2016/957, (EU) 2016/958, as corrected by OJ L 110, 27.4.2017, p. 9, (EU) 2016/960, (EU) 2016/1052, (EU) 2019/461, as corrected by OJ L 103, 12.4.2019, p. 61, Implementing Regulations (EU) 2016/347, (EU) 2016/378, (EU) 2016/523, (EU) 2016/959, (EU) 2016/1055, (EU) 2017/1158, (EU) 2018/292 and Implementing Directive (EU) 2015/2392 in the Icelandic and Norwegian languages, to be published in the EEA Supplement to the *Official Journal of the European Union*, shall be authentic.

Article 3

This Decision shall enter into force on 14 December 2019, provided that all the notifications under Article 103(1) of the EEA Agreement have been made (*), or on the day of the entry into force of Decision of the EEA Joint Committee No 259/2019 of 25 October 2019 ⁽¹⁷⁾, whichever is the later.

Article 4

This Decision shall be published in the EEA Section of, and in the EEA Supplement to, the *Official Journal of the European Union*.

Done at Brussels, 13 December 2019.

For the EEA Joint Committee

The President

Gunnar PÁLSSON

(*) No constitutional requirements indicated.

⁽¹⁷⁾ Not yet published in the Official Journal.