

MFSA

MALTA FINANCIAL SERVICES AUTHORITY

Circular addressed to MiFID Firms on Supplementary Data Collection to Support the New Prudential Framework for Investment Firms

Further to the Authority's [Circular](#)¹, dated 6 July 2016, the European Banking Authority (EBA) has launched a supplementary data collection exercise to support the new prudential framework for investment firms ([Link](#)). In this respect, the data collection exercise is addressed to MiFID investment firms, including those that are expected to fall under the scope of MiFID II. However, it excludes UCITS/AIFMD firms conducting MiFID activities or services. Licence Holders are therefore encouraged to participate in this exercise as it would facilitate the calibration of the new prudential framework.

The EBA has provided the relevant instruction in order to compile the requested data. It is recommended that Licence Holders review the instructions. The data collection template and the respective instructions can be found on the EBA website via the following links:

1. <https://www.eba.europa.eu/documents/10180/1901159/EBA+Data+Collection+MiFID+IFs+-+supplementary.xlsx>
2. <https://www.eba.europa.eu/documents/10180/1901159/EBA+Data+Instructions+MiFID+IFs+-+supplementary.pdf>

As outlined in Section 2 of the Instructions, the information should be reported for two reference dates being, **31 December 2015** and **31 December 2016**, unless otherwise stated. The exchange rates outlined in the instructions should also be used for conversion into Euro.

The MFSA is requesting MiFID investment firms, including those that are expected to fall under the scope of MiFID II, to complete the template and submit to the Authority by **3 August 2017** on the following email: lhrecords@mfsa.com.mt.

Contacts

Should you have any queries regarding the above, please do not hesitate to contact the Securities and Markets Supervision Unit, Tel: 2548 5231 or 2548 5298.

Communications Unit
Malta Financial Services Authority
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¹ Circular addressed to MiFID Firms and UCITS/AIFMD Firms conducting MiFID services and activities