

18 July 2019

Submission of Conduct-Related Data Returns and List of Financial Instruments

Reference is made to the first communication issued by the Malta Financial Services Authority [**Authority**] on the 28th of December 2016, regarding the Conduct-Related Data Return [**Return**] to be submitted by investment services licence holders on a quarterly basis. The Return is to be submitted via the LH Portal.

As you may know, the Authority used to send an email on a quarterly basis to all relevant investment services **licence holders ('entities') informing them that the submission of the Return** and the List of Financial Instrument is due.

However, both the Return and List of Financial instruments are now available on our website and entities have the facility of downloading these documents accordingly. Therefore, going forward, the Authority will no longer issue reminders addressed to those entities subject to the conduct related data reporting requirements informing them about the upcoming submission.

Furthermore, the Authority is also issuing two Guidance Documents to be referred to by the relevant entities when compiling the Return or the List of financial instruments document. These documents can be accessed via [this link](#).

Entities subject to the conduct related data return and List of Financial Instrument reporting requirement are to refer to the [Documentation Timetable](#) document for further information regarding the reporting deadlines and reporting frequency.

May we remind you that entities are required to submit the Return covering Q2 of 2019 and the List of Financial Instruments covering the first six months of 2019 by 12th August 2019.

Contacts

Should you have any queries regarding the above, please do not hesitate to contact us via financialpromotion@mfsa.com.mt.