

<u>Guidelines Name</u>	<u>Rulebook</u>	<u>Amended Rule(s)</u>
Guidelines on the benchmarking exercises on remuneration practices and the gender pay gap	Part BI Investment Firms	<p>Title 2 Reporting, Disclosures, and Confirmations Section 7 Remuneration and gender pay data collection exercises</p> <p>R.1.2.7.1 Pursuant to EBA/GL/2022/07 Guidelines on the benchmarking exercises on remuneration practices and the gender pay gap under Directive (EU) 2019/2023), the Licence Holder may be requested to submit information in relation to remuneration and gender pay gap in line with such Guidelines.</p>
Guidelines on the data collection exercises regarding high earners	Part BI Investment Firms	<p>Title 2 Reporting, Disclosures, and Confirmations Section 3 High Income Earners Confirmation</p> <p>R1-2.3.1 Pursuant to the EBA/GL/2022/08 Guidelines on the data collection exercises regarding high earners under Directive 2013/36/EU and under Directive (EU) 2019/2034 where any individual within the Class 1 and Class 1 minus Licence Holder earns at least EUR 1 million, the Licence Holder shall submit to the Authority the EBA XBRL Annex I as specified in the Guidelines, duly completed on the LH portal, by not later than 15 June of every calendar year.</p>

		<p>R1-2.3.2 Pursuant to the EBA/GL/2022/08 Guidelines on the data collection exercises regarding high earners under Directive 2013/36/EU and under Directive (EU) 2019/2034 where any individual within the Class 2 Licence Holder earns at least EUR 1 million, the Licence Holder shall submit to the Authority the EBA XBRL Annex II as specified in the Guidelines, duly completed on the LH portal, by not later than 15 June of every calendar year.</p> <p>R1-2.3.3 By derogation from the previous two Rules, all other Licence Holders which do not satisfy the requirements of EBA/GL/2022/08 Guidelines on the data collection exercises regarding high earners under Directive 2013/36/EU and under Directive (EU) 2019/2034, shall complete and submit a copy of the Confirmations tab in the audited MiFID Firms Quarterly Reporting signed by two Directors. This shall be submitted as per Rule R1-2.2.1(vii).</p>
<p>Joint EBA and ESMA Guidelines on common procedures and methodologies for the supervisory review and evaluation process (SREP)</p>	<p>Part BI Investment Firms</p>	<p>R1-1.3.4 The Licence Holder may be subjected to the SREP, as the MFSA deems appropriate, as per the Joint EBA and ESMA Guidelines on common procedures and methodologies for the</p>

		supervisory review and evaluation process (SREP).
Guidelines on the criteria for the exemption of investment firms from liquidity requirements in accordance with Article 43(4) of Regulation (EU) 2019/2033	Part BI Investment Firms	<p>Part 3: Class 1 Minus, Class, 2 and Class 3 Section 6 Liquidity</p> <p>R3-2.6.1 Licence Holders shall make reference to “Part Five – Liquidity”.</p> <p>R3-2.6.2 A Licence Holder, which in its opinion satisfies the conditions laid down in “Part Five – Liquidity” of the IFR and the EBA/GL/2022/10 Guidelines on the criteria for the exemption of investment firms from liquidity requirements in accordance with Article 43(4) of Regulation (EU) 2019/2033 shall formally request a derogation from the Authority in writing explaining its rationale on investmentfirms@mfsa.mt.</p> <p>R3-2.6.3 Should there be a change to any circumstances or factors affecting the assessment of the Licence Holder as per the previous Rule, which subsists for at least 30 calendar days, the Licence Holder shall formally notify the MFSA in writing on the above email without any delay.</p>
Guidelines on benchmarking of diversity practices, including diversity policies and gender pay gap, under Directive 2013/36/EU and Directive (EU) 2019/2034	Part BI Investment Firms	<p>Title 2 Reporting, Disclosures, and Confirmations Section 7 Remuneration and gender pay data collection exercises</p>

		<p>R.1.2.7.3 Pursuant to EBA/GL/2023/08 Guidelines on benchmarking of diversity practices, including diversity policies and gender pay gap, under Directive 2013/36/EU and Directive (EU) 2019/2034, the Licence Holder may be requested to submit information in relation to the benchmarking of diversity practices in line with such Guidelines.</p>
<p>Guidelines on resubmission of historical data under the EBA reporting framework</p>	<p>Part BI Investment Firms</p>	<p>R1-4.2.2 In the case of reporting errors by the Licence Holder, such Licence Holder shall resubmit the correct data to the MFSA.</p> <p>The resubmission may also be requested either by the EBA or the MFSA.</p> <p>The resubmission of data shall be in line with the Guidelines on resubmission of historical data under the EBA reporting framework.</p>
<p>Guidelines on the monitoring of the threshold and other procedural aspects on the establishment of intermediate EU parent undertakings under Article 21b of Directive 2013/36/EU</p>	<p>Part BI Investment Firms</p>	<p>Part 1 General: All Classes Title 2: Reporting, Disclosures, and Confirmations Section 8: Establishment of the Intermediate EU Parent Undertaking</p> <p>R.1.2.8.1 Licence Holders shall make reference to the Guidelines on the monitoring of the threshold and other procedural aspects</p>

		<p>on the establishment of intermediate EU parent undertakings under Article 21b of Directive 2013/36/EU.</p> <p>R.1.2.7.2 Licence Holders which are subject to the Guidelines shall submit to the MFSA Annex I – MFSA Template for IPU Threshold Monitoring by 26 May annually using the information as of the previous 31 December.</p>
Guidelines on funds' names using ESG or sustainability-related terms	Part A Investment Services Providers	R6-6.3.3 The Applicant shall make reference to the Guidelines on funds' names using ESG or sustainability-related terms when submitting the application to the MFSA.
	Part A – Retail UCITS	R5-5.8.5 The Applicant shall make reference to the Guidelines on funds' names using ESG or sustainability-related terms when submitting the application to the MFSA.
	Part A – AIFs	R4-4.1.4 The Applicant shall make reference to the Guidelines on funds' names using ESG or sustainability-related terms when submitting the application to the MFSA.
	Part BII UCITS ManCos	1.25 The Licence Holder shall apply the Guidelines on funds' names using ESG or sustainability-related terms, where applicable to the funds it manages.
	Part BIII AIFMs	1.32 The Licence Holder shall apply the Guidelines on funds' names using ESG or sustainability-related terms, where applicable to the funds it manages.

	Part BII – Malta based Retail UCITS Collective Investment Schemes	16.1A The Scheme shall apply the Guidelines on funds' names using ESG or sustainability-related terms, where applicable.
	Part B – Standard Licence Conditions applicable to Alternative Investment Funds	8.04A The Scheme shall apply the Guidelines on funds' names using ESG or sustainability-related terms, where applicable.