

4 December 2024

## Financial Instruments Survey

The purpose of this Circular is to inform the industry that, as from the reporting year 2024, all Investment Firms providing MiFID services to retail, professional and/or eligible counterparties will be required to submit the Financial Instruments Survey.

As indicated in the Circular "[Submission of the List of Financial Instruments](#)" issued on 03 June 2024, the Authority has revised the Survey previously referred to as the "List of Financial Instruments" to include some additional reporting data mainly related to Sustainable Finance.

The Financial Instruments Survey will therefore replace the List of Financial Instruments and shall be submitted on an annual basis.

The Financial Instruments Survey includes three tabs:

- List of Financial Instruments
- Complex Products Offered to Clients
- Sustainable finance

The Authority is also issuing a Guidance Document to be referred to by the relevant entities when compiling the Return. The documents can be accessed via [this link](#), under the 'MiFID Firms Reporting Requirements' tab within the 'Investment Firms' section.

### **Compilation and Submission of the Financial Instruments Survey**

The Authority expects authorised representatives of Licence Holders to compile the Financial Instruments Survey with diligence and due care. The MFSA will take note of instances where the information as disclosed in the Financial Instruments Survey is not in line with the discussions held with the Authority during any on-site inspections and/or other supervisory meetings.

The Financial Instruments Survey is to be submitted within 42 days after the end of the applicable reporting period (to be submitted after the end of the year, on an annual basis), through the 'Conduct Related Data Investments' project on the LH Portal, using the naming convention: **CODE\_MMMYYYY\_FISurvey.zip**.

In such cases where the 'Conduct Related Data Investments' project is not available on the LH Portal, kindly send an email to [financialpromotion@mfsa.mt](mailto:financialpromotion@mfsa.mt).

## **Contacts**

In case of any queries in relation to the Financial Instruments Survey an email can be sent to [financialpromotion@mfsa.mt](mailto:financialpromotion@mfsa.mt).