## MFSA MALTA FINANCIAL SERVICES AUTHORITY

## Circular addressed to Category 2 and Category 3 Investment Firms Clarification on updates to the COREP return

Reference is made to the MFSA's circular of the 20<sup>th</sup> December 2016 regarding additional information requirements in the COREP returns pertaining to conduct-related data, applicable as from the 31<sup>st</sup> December 2016 and due for submission on a quarterly basis.

The Authority has received a number of queries on the **reporting period** to be reflected in the conduct-related forms, namely the:

- I. Financial Innovation Survey;
- II. Passporting:
- III. Retail Investor Trends;
- IV. Top 10 Complex Products;
- V. Complaints.

The Authority would like to clarify that the data to be reported in the above-mentioned forms should **reflect the previous quarter**, that is, data is to be reported on a quarter-by-quarter basis. For instance, data submitted for the period ended 30<sup>th</sup> September should cover the quarter between 1<sup>st</sup> July and 30<sup>th</sup> September.

## **Contacts**

Should you have any queries regarding the above, please do not hesitate to contact Ms Erika Bajada, Analyst – Conduct Supervisory Unit (<u>EBajada@mfsa.com.mt</u> or 25485249) or Ms Sephora Scerri, Analyst – Conduct Supervisory Unit (<u>SScerri@mfsa.com.mt</u> or 25485385).

Communications Unit Malta Financial Services Authority 27<sup>th</sup> January 2017