

### Investment Services Licence Holder Documentatation Timetable

Category 1 Investment Services Licence Holders			
Regulatory Documentation	Rule	Submission Date not later than:	Submission
Annual Audited Financial Return	R4-4.3.1 (i)	4 months after the Accounting Reference Date	Full Original copy via mail <b>and</b> Soft copy via LH Portal
Audited Accounts	R4-4.3.1 (ii)	4 months after the Accounting Reference Date	Original copy via mail
Auditors' Report	R4-4.3.7	4 months after the Accounting Reference Date	Original copy via mail
Auditors' Management Letter	R4-4.3.6	4 months after the Accounting Reference Date	True copy of Original via mail
Remedial action taken on Auditors' Management Letter	R4-4.3.6	6 months after the Accounting Reference Date	Original copy via mail
Annual Financial Return <i>(Unaudited)</i>	R4-4.4.1	1 month after the Accounting Reference Date	Soft copy via LH Portal
Annual Financial Return <i>(Unaudited)</i>	R4-4.4.2	1 month after the Accounting Reference Date	Original copy of Representations sheet via mail
Interim Financial Return	R4-4.5.2	1 month following the Reporting Date	Soft copy via LH Portal
Interim Financial Return	R4-4.5.3	1 month following the Reporting Date	Original copy of Representations sheet via mail
Due Diligence Confirmation	R4-4.6.2	31 January	Original copy via mail
<b>Category 2, 3 &amp; 4a Investment Services Licence Holders</b>			
Regulatory Documentation	Rule	Submission Date not later than:	Submission
Annual Audited COREP Return	R4-5.3.1(i)	4 months after the Accounting Reference Date	Full Original copy via mail <b>and</b> Soft copy via LH Portal
Audited Accounts	R4-5.3.1 (ii)	4 months after the Accounting Reference Date	Original copy via mail
Auditors' Report	R4-5.3.8	4 months after the Accounting Reference Date	Original copy via mail
Auditors' Management Letter	R4-5.3.1 (iii)	4 months after the Accounting Reference Date	True copy of Original via mail
Remedial action taken on Auditors' Management Letter	R4-5.3.7	6 months after the Accounting Reference Date	Original copy via mail
Annual COREP Return <i>(unaudited)</i> <sup>1</sup>	R4-5.4.1	42 days following the Reporting Date	Soft copy via LH Portal
Annual COREP Return <i>(unaudited)</i> <sup>1</sup>	R4-5.4.2	42 days following the Reporting Date	Original copy of Representations sheet via mail
Interim COREP Return	R4-5.5.2	42 days following the Reporting Date	Soft copy via LH Portal
Interim COREP Return	R4-5.5.3	42 days following the Reporting Date	Original copy of Representations sheet via mail
RMICAAP signed copy <sup>2</sup>	R4-5.6.1	31 January	Soft copy via e-mail to: investmentfirms@mfsa.com.mt
Due Diligence Confirmation	R4-5.8.2	31 January	Original copy via mail
Consolidated Group Assessment	R4-6.2.1	1 month after the Accounting Reference Date	Original copy via mail
High Income Earners Confirmation	R4-5.7.1	30 June	Soft copy via e-mail to: investmentfirms@mfsa.com.mt
Recovery Plan <sup>3</sup>	R4-5.9.1	01 April	True copy of Original via mail
Recovery Plan Confirmation <sup>4</sup>	R4-5.9.2	01 April	Soft copy via e-mail to: investmentfirms@mfsa.com.mt
System Certification Confirmation <sup>5</sup>	R4-5.10.1	30 June	Soft copy via e-mail to: investmentfirms@mfsa.com.mt
Annual Consolidated COREP Return <i>(unaudited)</i> <sup>6</sup>	R4-6.3.1 & R4-6.3.2	42 days following the Reporting Date	Soft copy via LH Portal
Annual Consolidated COREP Return <i>(unaudited)</i> <sup>6</sup>	R4-6.3.3	42 days following the Reporting Date	Original copy of Representations sheet via mail
Interim Consolidated COREP Return <sup>6</sup>	R4-6.4.1 & R4-6.4.2	42 days following the Reporting Date	Soft copy via LH Portal
Interim Consolidated COREP Return <sup>6</sup>	R4-6.4.3	42 days following the Reporting Date	Original copy of Representations sheet via mail
<b>Credit Institutions that hold an Investment Services Licence</b>			
Regulatory Documentation	Rule	Submission Date not later than:	Submission
Annual Financial Statements	R4-5.3.2	4 months after the Accounting Reference Date	Original copy via mail
Auditors' Note regarding Investment Services Net Revenues	R4-5.3.2	4 months after the Accounting Reference Date	Original copy via mail signed by Auditor

1. Not applicable to Local Firms

2. Applicable to Category 2 & 3 ISLHs, excluding Local Firms

3. Applicable Category 3 ISLHs, excluding Local Firms only

4. Applicable to Local Firms only

5. Applicable to ISLHs who use a proprietary online trading platform

6. Applicable to ISLHs who form part of a Consolidated Group and are required to submit a Consolidated COREP Return