

**MFSA**

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MALTA FINANCIAL SERVICES AUTHORITY

## **Consultation Document**

### **Proposed Conduct of Business Rules for the enhanced protection of customers in investment services**

**MFSA Ref: 03/2014**

**27<sup>th</sup> January 2014**

**Closing Date: 14<sup>th</sup> March 2014**

**Note:** The documents circulated by the MFSA for the purpose of consultation are in draft form and consist of recommendation. Accordingly these recommendations are not binding and are subject to changes and revisions following representations received from interested parties. It is important that persons involved in the consultation bear these considerations in mind.

## **Note for Consultation**

### **Proposed Conduct of Business Rules for the enhanced protection of customers in investment services**

A Conduct of Business (Investment Services) Task Force within MFSA has presented the Board of Governors with proposals for the review of the current Conduct of Business regulatory regime in investment services and the definition of appropriate policy changes for the enhanced protection of customers in investment services.

Some of the recommendations also have a bearing on the protection of customers in the wider area of financial services.

This paper summaries some of the salient features of these initial recommendations as approved by the MFSA.

Any comments and feedback are to be addressed to the MFSA Communications Unit by email on [communications@mfsa.com.mt](mailto:communications@mfsa.com.mt). Interested parties are kindly asked to submit any comments in writing by **not later than 14<sup>th</sup> March 2014**.

**Communications Unit**  
**Malta Financial Services Authority**  
**MFSA Ref: 03/2014**  
**27<sup>th</sup> January 2014**