

31 October 2019

Submission of the Conduct-Related Data Return: Change in Naming Convention

The purpose of this Circular is to inform Investment Services Licence Holder regarding recent changes carried out to the LH Portal, specifically the change in the naming convention to be used when uploading documents via the LH Portal.

Investment Services Licence Holders are required to submit the Conduct-Related Data Return [Return] on a quarterly basis and the List of Financial Instruments on a bi-annual basis.

Going forward, such documents are to be uploaded via the LH Portal, using the naming convention indicated in the table below.

Document Name	New Naming Convention
Conduct Related Data Return	LICENCEHOLDERCODE_MMMYYYYY_Investments
List of Financial Instruments	LICENCEHOLDERCODE_MMMYYYYY_FIList

Table 1: Naming Convention

where:

- LICENCEHOLDERCODE: letter identification-code assigned to the Investment Services Licence Holder. This refers to the field 'Identification' in terms of data held on the Authority's website under the section ['Financial Services Register'](#);
- MMM: the first 3 digits of the respective referenced month. For example, for June, the MMM is JUN;
- YYYY is the full 4-digits number of the respective referenced year.

Kindly note that Category 2 and 3 Investment Services Licence Holders shall refer to the [Circular](#) and the [Guidelines on Regulatory Reporting Requirements and the Submission of Financial documentation through the LH Portal](#) on the submission of the COREP.

May we remind you that investment services licence holders are required to submit the Return covering Q3 of 2019 by not later than 11th November 2019.

Contacts

Should you have any queries regarding the above, please do not hesitate to contact us via financialpromotion@mfsa.com.mt.