

Investment Services Licence Holder Documentation Timetable

Class 1 minus and Class 2 Investment Services Licence Holders			
Regulatory Documentation	Rule	Submission Date not later than:	Submission
MIFID Firms Quarterly Reporting (Q1, Q2, Q3: Part A, Part B, and Part C)	R1-2.1.1	42 days following the Reporting Date	Soft copy via LH Portal
MIFID Firms Quarterly Reporting (Q4: Part A and Part C)	R1-2.1.1	42 days following the Reporting Date	Soft copy via LH Portal
MIFID Firms Quarterly Reporting (Q4: Part B, and Confirmations tab)	R1-2.2.1	4 months after the Accounting Reference Date	Original copy of the Confirmations tab via mail and Soft copy via LH Portal
Audited Accounts	R1-2.2.1	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Auditors' Report to the MFSA	R1-2.2.1	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Auditors' Management Letter	R1-2.2.1	4 months after the Accounting Reference Date	True copy of Original via mail and Soft copy via LH Portal
Remedial action taken on Auditors' Management Letter	R1-2.2.1	6 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Annex I (Every quarter)	R3-2.8.1	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
Annex VIII (Quarterly)	R3-2.8.3	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
List of Financial Instruments (semi-annually)		42 days following the Reporting Date	Soft copy via LH Portal

Submitted as one

Class 3 Investment Services Licence Holders			
Regulatory Documentation	Rule	Submission Date not later than:	Submission
MIFID Firms Quarterly Reporting (Q1, Q2, Q3, Q4: Part A and Part C)	R1-2.1.1	42 days following the Reporting Date	Soft copy via LH Portal
MIFID Firms Quarterly Reporting (Q2: Part B)	R1-2.1.1	42 days following the Reporting Date	Soft copy via LH Portal
MIFID Firms Quarterly Reporting (Q4: Part B, and Confirmations tab)	R1-2.2.1	4 months after the Accounting Reference Date	Original copy of the Confirmations tab via mail and Soft copy via LH Portal
Audited Accounts	R1-2.2.1	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Auditors' Report to the MFSA	R1-2.2.1	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Auditors' Management Letter	R1-2.2.1	4 months after the Accounting Reference Date	True copy of Original via mail and Soft copy via LH Portal
Remedial action taken on Auditors' Management Letter	R1-2.2.1	6 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
Annex III (Annual)	R3-2.8.2	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
Annex VIII (Quarterly)	R3-2.8.3	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
List of Financial Instruments (semi-annually)		42 days following the Reporting Date	Soft copy via LH Portal

Submitted as one pack

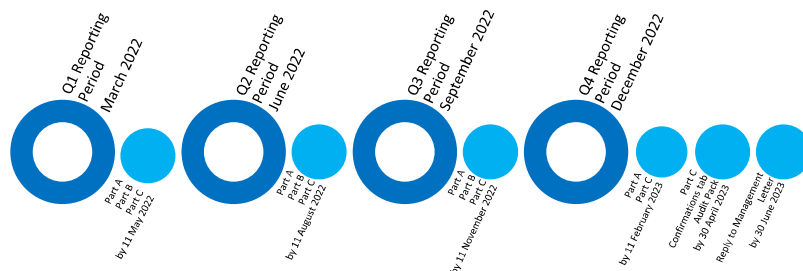
NB. Part C does not apply to Investment Firms holding a Credit Institution Licence

NB2. All information pertaining to Part B shall be on a cumulative basis (i.e. Q1 is always the starting point), while information pertaining to Part A and Part C shall be restricted to the quarter under consideration

All original copies sent by mail should be addressed to Securities and Markets Supervision

Last updated: 29 September 2021

The below is an example of a Class 1 minus/Class 2 investment firm whose financial year end is December. The reporting requirement concerns the MiFID Firms Quarterly Reporting and Audited financial statements.



The below is an example of a Class 3 investment firm whose financial year end is December. The reporting requirement concerns the MiFID Firms Quarterly Reporting and Audited financial statements.

