

## Investment Services Licence Holder Documentation Timetable

### 1. Class 1 minus and Class 2 Investment Services Licence Holders

Regulatory Documentation	Rule	Submission Date not later than:	Submission
<b>MiFID Firms Quarterly Reporting</b> Q1, Q2, Q3: Part A, Part B, Part C	R1-2.1.1 of Part B1: Rules and R.4.1.25 (a) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal
<b>MiFID Firms Quarterly Reporting</b> Q4: Part A, Part C	R1-2.1.1 of the Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal
<b>MiFID Firms Quarterly Reporting</b> Q4: Part B, and Confirmations tab	R1-2.2.1 of the Part B1: Rules	4 months after the Accounting Reference Date	Original copy of the Confirmations tab via mail and Soft copy via LH Portal
<b>Audited Accounts</b>	R1-2.2.1 of the Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Auditors' Report to the MFSA</b>	R1-2.2.1 of the Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Auditors' Management Letter</b>	R1-2.2.1 of the Part B1: Rules	4 months after the Accounting Reference Date	True copy of Original via mail and Soft copy via LH Portal
<b>Remedial action taken on Auditors' Management Letter</b>	R1-2.2.1 of the Part B1: Rules	6 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Annex I (Every quarter)</b>	R3-2.8.1 of the Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
<b>Annex VIII (Quarterly)</b>	R3-2.8.3 of the Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
<b>Financial Instruments Survey</b>	R.4.1.25 (b) of the CoB	42 days following the Reporting Year	Soft copy via LH Portal

Submitted as one pack

**2. Class 3 Investment Services Licence Holders**

<b>Regulatory Documentation</b>	<b>Rule</b>	<b>Submission Date not later than:</b>	<b>Submission</b>
<b>MiFID Firms Quarterly Reporting</b> Q1, Q3, Q4: Part A, Part C	R1-2.1.1 of Part B1: Rules and R.4.1.25 (a) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal
<b>MiFID Firms Quarterly Reporting</b> Q2: Part A, Part B, Part C	R1-2.1.1 of Part B1: Rules and R.4.1.25 (a) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal
<b>MiFID Firms Quarterly Reporting</b> Q4: Part B, and Confirmations tab	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy of the Confirmations tab via mail <b>and</b> Soft copy via LH Portal
<b>Audited Accounts</b>	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Auditors' Report to the MFSA</b>	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Auditors' Management Letter</b>	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	True copy of Original via mail and Soft copy via LH Portal
<b>Remedial action taken on Auditors' Management Letter</b>	R1-2.2.1 of Part B1: Rules	6 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Annex III (Annual)</b>	R3-2.8.2 of Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
<b>Annex VIII (Quarterly)</b>	R3-2.8.3 of Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
<b>Financial Instruments Survey</b>	R.4.1.25 (b) of the CoB	42 days following the Reporting Year	Soft copy via LH Portal

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**3. Credit Institutions providing MiFID Services**

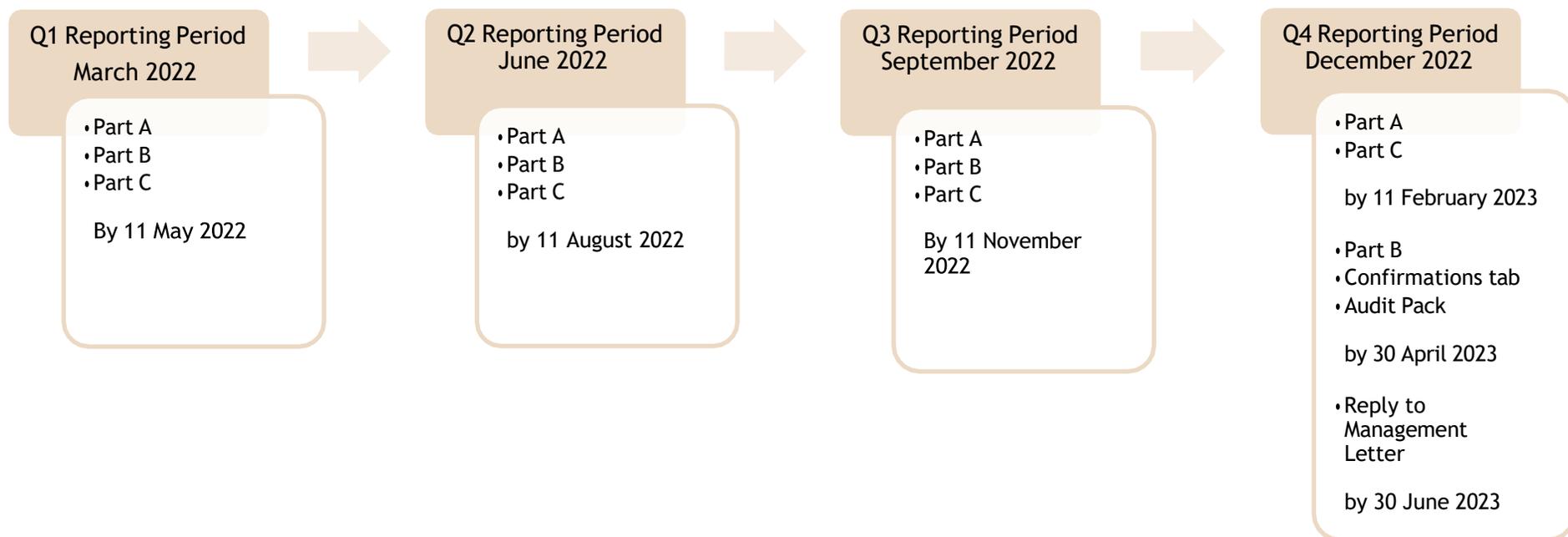
Regulatory Documentation	Rule	Submission Date not later than:	Submission
<b>MiFID Firms Quarterly Reporting</b> Q1, Q2, Q3, Q4: Part A	R.4.1.25 (a) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal
<b>MiFID Firms Quarterly Reporting</b> Q4: Part B (only 'Financial Details' tab), and Confirmations tab (only signatures)	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy of the Confirmations tab via mail <b>and</b> Soft copy via LH Portal
<b>Annual Financial Statements</b>	R1-2.2.1 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Circularisation Exercise</b>	R1-2.2.1 and R1-1.16.7 of Part B1: Rules	4 months after the Accounting Reference Date	Original copy via mail and Soft copy via LH Portal
<b>Financial Instruments Survey</b>	R.4.1.25 (b) of the CoB	42 days following the Reporting Year	Soft copy via LH Portal

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**NB. 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.**

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.

