

21 December 2022

Revisions to the List of Financial Instruments

Reference is made to the List of Financial Instruments, submitted on a biannual basis by Investment Firms.

Kindly note that the Authority has revised the List of Financial Instruments, as to include the Complex Products Survey which was previously part of the MiFID Firms Quarterly Reporting.

Regulated entities are kindly required to refer to the latest version of the document available on the MFSA website.

The Authority is also issuing an amended Guidance Document to be referred to by the relevant entities when compiling the Return. The documents can be accessed via [this link](#), under the 'MiFID Firms Reporting Requirements' tab within the 'Investment Firms' section.

List of Amendments

The Complex Products Survey, which was previously part of the MiFID Firms Quarterly Reporting and submitted on a quarterly basis, has now been included in the List of Financial Instruments (sheet "2 – Complex Products").

Compilation and submission of the List of Financial Instruments

The Authority expects authorised representatives of Licence Holders to compile the List of Financial Instruments with diligence and due care. The MFSA will adopt a dim view in those circumstances wherein the information as disclosed in the List of Financial Instruments is not in line with the discussion held with the Authority during on-site inspections and/or any other supervisory meetings.

The List of Financial Instruments is to be submitted within 42 days after the end of the applicable reporting period (to be submitted after the end of H1 and H2, on a biannual basis), through the 'Investment Firms reporting' project on the LH Portal, using the naming convention: **CODE_MMMYYYY_FIList.zip**.

In such cases where the 'Investment Firms reporting' project is not available on the LH Portal, kindly send an email to investmentfirms@mfsa.mt.

Contacts

In case of any queries in relation to the List of Financial Instruments an email can be sent to financialpromotion@mfsa.mt.