

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
MiFID Firms Quarterly Reporting 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
MiFID Firms Quarterly Reporting 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
MiFID Firms Quarterly Reporting 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
Audited Accounts	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
Auditors' Report to the MFSA	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
Auditors' Management Letter	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
Remedial action taken on Auditors' Management Letter	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
Annex I (Every quarter)	R3-2.8.1 of the Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
Annex VIII (Quarterly)	R3-2.8.3 of the Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
List of Financial Instruments (H1, H2)	R.4.1.25 (b) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal

Submitted as one pack

2. Class 3 Investment Services Licence Holders

Regulatory Documentation	Rule	Submission Date not later than:	Submission
MiFID Firms Quarterly Reporting 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
MiFID Firms Quarterly Reporting 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
MiFID Firms Quarterly Reporting 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 and Soft copy via LH Portal
Audited Accounts	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
Auditors' Report to the MFSA	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
Auditors' Management Letter	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
Remedial action taken on Auditors' Management Letter	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
Annex III (Annual)	R3-2.8.2 of Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
Annex VIII (Quarterly)	R3-2.8.3 of Part B1: Rules	42 days following the Reporting Date	Soft copy via LH Portal in XBRL format
List of Financial Instruments (H1, H2)	R.4.1.25 (b) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal

Submitted as one pack

3. Credit Institutions providing MiFID Services

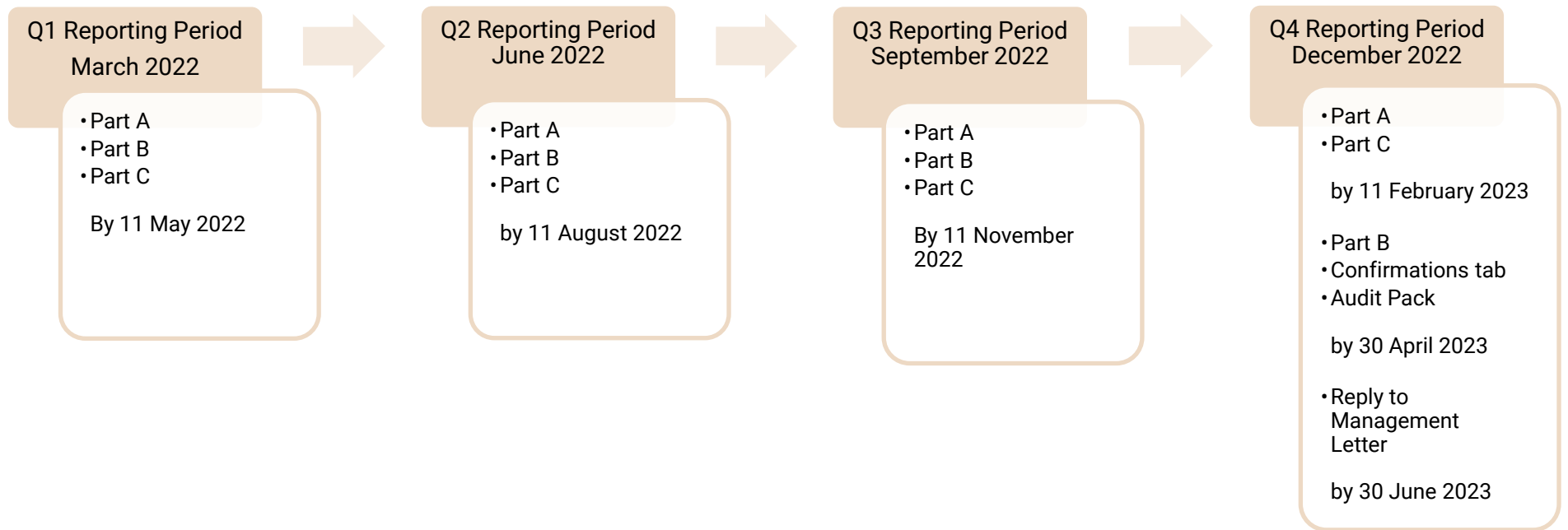
Regulatory Documentation	Rule	Submission Date not later than:	Submission
MiFID Firms Quarterly Reporting Q1, Q2, Q3, Q4: Part A	R.4.1.25 (a) of the CoB	42 days following the Reporting Date	Soft copy via LH Portal
MiFID Firms Quarterly Reporting Q4: Part B (only 'Financial Details' tab), and Confirmations 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 and Soft copy via LH Portal
Annual Financial Statements	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
Circularisation Exercise	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
List of Financial Instruments (H1, H2)	R.4.1.25 (b) of the CoB	42 days following the Reporting Date	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.

