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**The MiFID II journey**

Your integrated regulatory  
and compliance solution

# We can support you throughout your MiFID II compliance journey

There has been more than three years since the launch of a cataclysmic shock in Investment services markets under the name of MiFID II on the 3rd of January 2018 and the aftershocks are still going. The 30,000+ page Level 1, 2 & 3 text keeps growing and has been a major game changer for market participants facing a mountain of new requirements that are bound to have an impact on firms' operating models. Our team of specialists and our MiFID II taskforce can support you on your MiFID compliance journey and implementation phases.

## Helping you with your Licensing and Application process



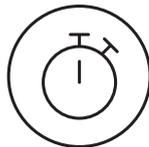
### Licensing and Application Process

Helping you with the preparation and submission of the license application package, including liaising with the Regulator throughout the authorisation process.



### Internal control framework

**Assess/review/design the internal control framework** of the organisation (e.g. three lines of defence model).



### Regulatory watch

Stay **up to date with the regulatory changes** that directly or indirectly affect your organisation through regulatory technology tools, such as RegMiner, as well as via our monthly regulatory outlook.

Providing updates in relation to **latest regulatory developments**, including CySEC's issuance of circulars, directives and announcements, as well as any other EU regulatory developments relevant to the scope of the Company's activities and operations, **including their effect, if any, on the operations and activities of the Company.**



### Regulatory Q&A Helpdesk

Providing answers and responses to Company's questions/queries arising in the process of the Company's operations and relating to the Law regarding the Provision of Investment Services, the Exercise of Investment Activities and the Operation of Regulated Markets of 2017, as amended from time to time, as well as any ensuing CySEC or EU existing or forthcoming, Circulars, Regulations and Directives.

Responses may be written or oral, according to the case and urgency.



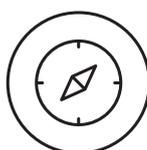
## Ongoing advisory support on regulatory compliance matters



### Support to the Company's Compliance Officer

Examples include:

- Providing guidance on matters related to the duties and responsibilities of the Compliance Officer by responding to specific queries.
- Support in relation to specific responses to CySEC's questions/ requests, as these may be required from time to time, as well as general guidance on the new and existing CySEC reporting requirements.



### Regulatory Advice on specific matters

Examples include:

- Gap assessments on specific regulations
- Regulatory Advice on permissible activities and delegation/ outsourcing arrangements
- Due-diligence on specific counterparties
- Applicability of specific CySEC/ ESMA directives or circulars/ guidelines to the firm and impact/ remediation

Responses may be written or oral, according to the case and urgency.



### Policies and procedures

**Draft/review and adapt your policies and procedures** in light of the applicable regulation.

Examples of such policies and procedures include:

- Product Governance policy
- Remuneration Policy
- Appropriateness and Suitability Policy
- Business Continuity Plan
- Risk Management Policy and Procedures etc.

# Your contacts for MiFID II

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