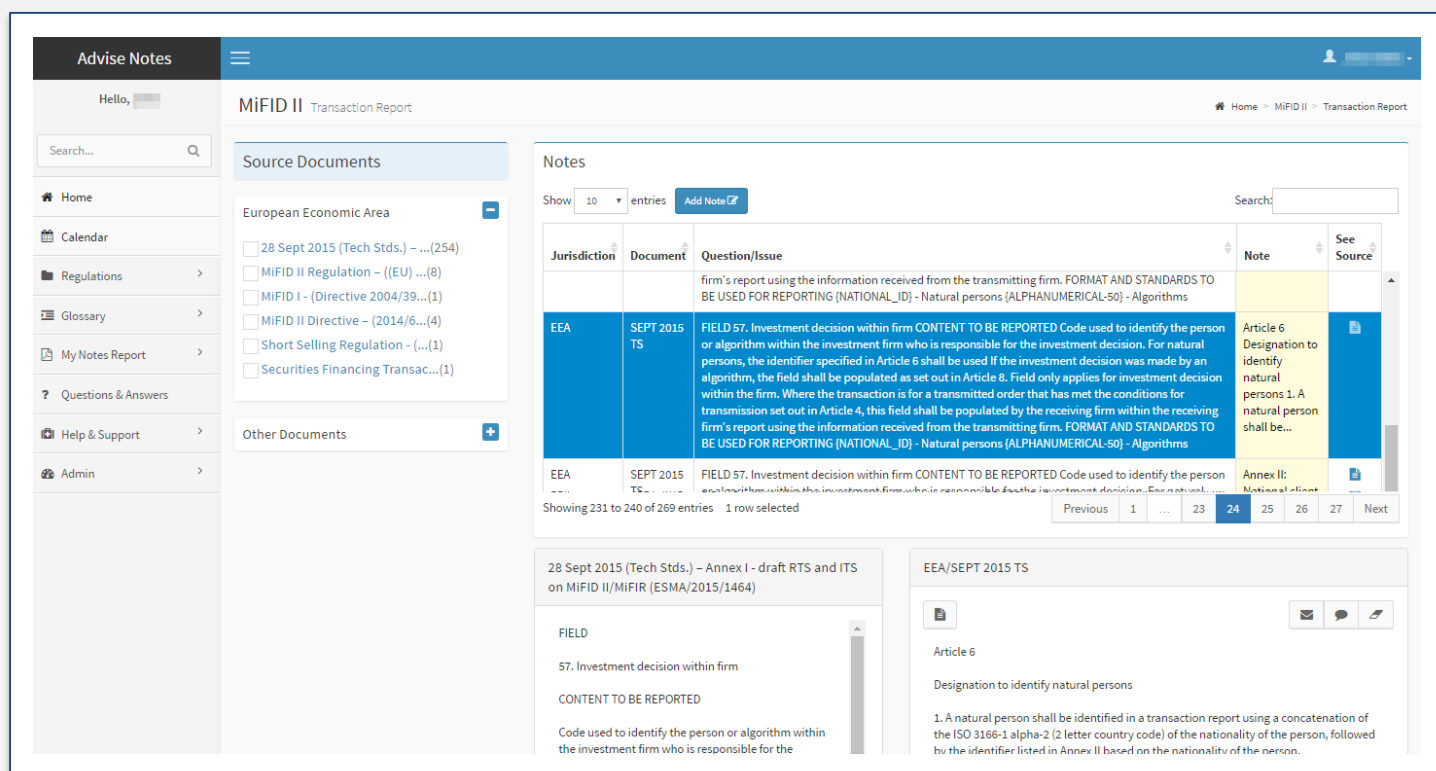


MiFID II Regulatory Reference

MiFID II regulation from ESMA, EC, and NCAs organized by topic, including:

- ✓ Best execution
- ✓ Position limits
- ✓ Position reporting
- ✓ Transaction reporting
- ✓ Transparency reporting
- ✓ Algorithmic trading
- ✓ Conflicts of interest
- ✓ Clock synchronization (for recording reportable events)
- ✓ Record-keeping obligations
- ✓ Recording of telephone conversations and electronic communications
- ✓ Legitimacy of inducements to be paid to/by a third party
- ✓ Market making agreements



The screenshot displays the Advise Notes application interface. The top navigation bar includes 'Advise Notes' and a user profile. The main content area is titled 'MiFID II Transaction Report'. On the left, there is a sidebar with navigation options: Home, Calendar, Regulations, Glossary, My Notes Report, Questions & Answers, Help & Support, and Admin. The main area is divided into several sections:

- Source Documents:** A list of documents under 'European Economic Area' and 'Other Documents'. The 'European Economic Area' section includes: 28 Sept 2015 (Tech Stds.) - ... (254), MIFID II Regulation - ((EU) ... (8), MIFID I - (Directive 2004/39... (1), MIFID II Directive - (2014/6... (4), Short Selling Regulation - (... (1), and Securities Financing Transac... (1).
- Notes:** A table with columns: Jurisdiction, Document, Question/Issue, Note, and See Source. The table shows a list of notes, with the first row highlighted in blue. The 'Question/Issue' column contains text about 'FIELD 57. Investment decision within firm CONTENT TO BE REPORTED'. The 'Note' column contains text about 'Article 6 Designation to identify natural persons 1. A natural person shall be...'. The 'See Source' column contains a document icon.
- 28 Sept 2015 (Tech Stds.) - Annex I - draft RTS and ITS on MIFID II/MIFIR (ESMA/2015/1464):** A section with a 'FIELD' section containing '57. Investment decision within firm CONTENT TO BE REPORTED' and a description: 'Code used to identify the person or algorithm within the investment firm who is responsible for the...'. There is also a 'Note' section with 'Article 6 Designation to identify natural persons' and a list item: '1. A natural person shall be identified in a transaction report using a concatenation of the ISO 3166-1 alpha-2 (2 letter country code) of the nationality of the person, followed by the identifier listed in Annex II based on the nationality of the person.'

Drill-down to the official source documents with a supplemental glossary of defined terms and links to referenced regulatory documents

Review information organized by regulator, topic, or source – data is updated as the Directive develops

Email Notifications when regulatory notes are updated to keep users updated with the latest changes



Advise Notes is available via desktop or mobile