

PwC Plus Article

By ESMA - European Securities and Markets Authority | 05. Juni 2020

ESMA provides guidance on the compliance function under MiFID II

These guidelines replace the ESMA guidelines on the same topic issued in 2012 and include updates that enhance clarity and foster greater convergence in the implementation, and supervision, of the new MiFID II compliance function requirements.

Schlagwörter

Alternative Investment Fund Managers Directive (AIFMD), Anlageberatung, Anlegerschutz, Berichterstattung / Reporting, Compliance, Compliance-Funktion, Fondsmanager, Innovation, Interne Revision / Internal Audit, Investmentfonds, MiFID, MiFID II, Monitoring, Risk Assessment, Risk Management Allgemein, UCITS / OGAW, UCITS-Directive / OGAW-Richtlinie, investment firms

FS-Branche(n)

Banking & Capital Markets, Asset & Wealth Management

Themen

Risk & Regulation

Verfasser

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