

PwC Plus Article

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ESMA highlights areas for improvement compliance with MIFID II suitability requirements

The 2020 CSA has shown that firms overall comply with key elements of the suitability requirements that were already regulated under MiFID I, such as the understanding of products and clients and their processes and procedures to ensure the suitability of investments.

Keywords

Compliance, Finanzmarkt, MiFID II

FS-sector(s)

Banking & Capital Markets, Asset & Wealth Management

Topics

Risk & Regulation

Issuing Body

ESMA - European Securities and Markets Authority