

PwC Plus Article

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ESMA publishes guidance on appropriateness and execution-only requirements under MiFID II

The purpose of the Guidelines is to enhance clarity and to foster convergence in the application of the appropriateness and execution-only requirements.

Keywords

Anlageberatung, Anlegerschutz, Asset & Wealth Management Aufsicht, Compliance, Framework, MiFID II, Wertpapieraufsicht (International)

FS-sector(s)

Banking & Capital Markets, Asset & Wealth Management

Topics

Risk & Regulation

Issuing Body

ESMA - European Securities and Markets Authority