

PwC Plus Article

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ESMA updates its guidance on the definition of advice in a supervisory briefing

ESMA reviewed and updated the CESR Q&A on Understanding the Definition of Advice under MiFID, a document that is widely used by supervisors and firms, to align it with new business models and recent technological developments.

Keywords

Anlageberatung, Compliance, Finanzmarkt-Richtlinie, MiFID, MiFID II, Wertpapierhandelsgesetz (WpHG)

FS-sector(s)

Banking & Capital Markets, Asset & Wealth Management

Topics

Risk & Regulation

Issuing Body

ESMA - European Securities and Markets Authority