

THE LEGAL DIRECTIVE:

MIFID2: Markets in financial instruments directive

Each EU nation must adopt it as national law.

THE REGULATION:

MIFIR: Markets in financial investments regulation

Enforces the MIFID2 Directive, must be implemented as-is.

Has impact with these additional regulations:

MAR: Market Abuse Regulation

CSMAD: Criminal Sanctions for Market Abuse Directive

PRIIPS: Packaged Retail & Insurance Based Investment Products

UCITS 5: Undertakings for Collective Investment in Transferable Securities

AIFMD: Alternative Investment Fund Managers Directive

IDD: Insurance Distribution Directive

WHAT MUST BE ARCHIVED?



Voice, transaction & electronic communications regarding the production, sale and distribution of financial instruments.

WHY ARCHIVE?



To preserve and make transparent financial data for investor protection and delivery to clients and regulators.

ARCHIVED FROM WHAT?



Company equipment and personal electronic equipment approved by a firm for transactional use.

ARCHIVE ON WHAT?



A durable medium that prevents alteration. (Write Once Read Many)

ARCHIVE FOR HOW LONG?

**5-7
years**

Minimum 5 Years, Up to 7 Years

GLOBAL IMPACT

MIFID2 affects financial companies doing business in the EU and those from the rest of the world that do business in the EU.



DO YOU NEED HELP WITH MIFID2 ARCHIVING?

Archive Nexus and ASG Software Solutions have integrated our products to provide you a centralized MIFID2 content repository of record. Please request our MOBIUS + ARKIVY brochures for full details.

WHO DOES IT AFFECT?

PRODUCERS OF INVESTMENT PRODUCTS

Asset managers,
Banks, Insurance
Hedge Funds



PROVIDERS OF INVESTMENTS

Banks
Execution venues
(exchanges)



DISTRIBUTORS OF INVESTMENTS

Banks
Investment Advisors



"Banks" is a catch-all phrase to include Investment, Retail, Consumer, Public and Private institutions.

FOR MORE INFORMATION, CONTACT: mifid2@archive-nexus.com