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10/11/2017

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Additional Information

Level 1 Regulation
Markets in Financial Instruments Directive II (MiFID II) Directive 2014/65/EU- Investor Protection and Intermediaries

Topic
Reporting to clients

Subject Matter
Post-sale reporting

Question
Does the obligation in Article 62(1) of Commission Delegated Regulation (EU) 2017/565 to report on the overall value of a client's portfolio depreciating by a 10% threshold on a particular business day apply only to retail clients?

ESMA Answer

10-11-2017

Original language

[ESMA 35-43-349 MiFID II Q&As on Investor protection Ch. 8, question 10]

No. The obligation in Article 62(1) of Commission Delegated Regulation (EU) 2017/565 relates to retail and professional clients.