



all things

# Regulatory

for the

FUNDS & ASSET MANAGEMENT INDUSTRIES



Merlys

# MiFID II Compliance

The UK Branch of a non-EEA bank wanted to understand the impact of MiFID II on its business in the EEA. We began with a plain language analysis of the changes and undertook a 'gap' analysis of the bank's then current position. We gave tailored advice on the changes required to comply with MiFID II.

We devised the bank's strategic approach for its communication programme to its local and home regulators, clients and staff to explain the changes required to achieve regulatory and legal compliance. We reviewed documentation for all impacted products and services. We helped the client to review, prioritise and re-draft all impacted contracts. To embed the changes, we developed and delivered training to all staff in multiple jurisdictions that were affected by the changes.



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*This briefing note is intended to act as general guidance and is not intended to offer specific legal advice. Merlys is very happy to assist you with any aspect of the content in this article, as it relates to your business.*

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