

(TEMPLATE) MiFID COMPLIANCE MANUAL

**February 2010
VERSION 1.10**

NOTE – THIS TEMPLATE ‘CONTENTS’ FOR A MiFID COMPLIANCE MANUAL INCLUDES MANY TOPICS WHICH A MiFID FIRM (UNDER S.I. 60 OF 2007) SHOULD CONSIDER AS A MINIMUM FOR ITS COMPLIANCE MANUAL.

THE MiFID TEMPLATE COMPLIANCE MANUAL DOES NOT INCORPORATE SPECIFIC (i) AML/CFT; (ii) DATA PROTECTION; (iii) CONSUMER PROTECTION CODE, POLICIES AND PROCEDURES. THESE TOPICS PLUS OTHER TOPICS CAN BE INCLUDED AT CLIENT’S REQUEST.

Other MiFID template compliance documents are also available on our website including:

1. MiFID Procedures Manual (Template for Contents)
2. MiFID Monitoring Programme (Template for Contents)
3. Anti-Money Laundering & Counter-Financing of Terrorism Policies, Procedures and Manual (MiFID & non-MiFID firms) (Template for Contents)
4. Data Protection Policies, Procedures & Manuals (MiFID & non-MiFID firms) (Template for Contents)

Please contact Compliance Ireland Regulatory Services Limited at email@complianceireland.com or telephone + 353 (0) 1 425 5962 for further information on this template manual and other compliance documents.

To see more compliance document templates return to www.complianceireland.com/compliancedocs.html (or www.complianceireland.com) and visit www.mifid.ie for more information on MiFID.

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Client/consumer Contract/Written Agreement/terms of business standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Ongoing Client Requirements' must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional Contract Note standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Client Reporting' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Dealing Provisions' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Best Execution' reporting standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Act in Best Interest' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Conduct of Business Obligations' standards must be included. CIRS can tailor such additional standards to client's requirements.*

7.C.8 Chinese Walls*

**Depending upon nature and extent of non-MiFID authorised business, additional 'Chinese Walls/Conflicts of Interest' standards must be included. CIRS can tailor such additional standards to client's requirements.*

7.C.9 Soft commissions*

**Depending upon nature and extent of non-MiFID authorised business, additional 'Soft Commission' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Inducements' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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**Depending upon nature and extent of non-MiFID authorised business, additional 'Client/Customer/ Consumer Records' standards must be included. CIRS can tailor such additional standards to client's requirements.*

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Personal Transactions Pre-Clearance Form.....

**Depending upon extent of obligations covered in Compliance Manual additional material may need to be included in the Appendices. CIRS can tailor such additional standards to client's requirements.*

