

Compliance Ireland

(TEMPLATE)

MIFID PROCEDURES MANUAL

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<http://www.complianceireland.com>



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NOTE: THIS TEMPLATE '**CONTENTS**' FOR A MiFID PROCEDURES MANUAL INCLUDES TOPICS WHICH ALL MiFID FIRMS (under S.I. No. 60 of 2007 European Communities (Markets in Financial Instruments) Regulations 2007) SHOULD CONSIDER AS A MINIMUM FOR THEIR PROCEDURES MANUAL.

THE TEMPLATE PROCEDURES MANUAL DOES NOT INCORPORATE SPECIFIC POLICIES AND PROCEDURES FOR (i) AML/CFT, (ii) DATA PROTECTION, OR (iii) CONSUMER PROTECTION CODE. THESE TOPICS AND OTHERS CAN BE INCLUDED AT THE CLIENT'S REQUEST.

Further template compliance documents for MiFID firms are also available on our website. These include:

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

Please contact Compliance Ireland Regulatory Services Limited at email@complianceireland.com or telephone + 353 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).

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