



## Markets in Financial Instruments Directive (MiFID) II

There have been significant changes brought to the European financial regulations because of the implementation of the European Union Regulation 2017, such as The Markets in Financial Instruments Directive (MiFID) Directive 2014/65/EU, commonly known as MiFID 2, (hereafter referred to as “**MiFID II**”). The MiFID II aims to align regulation across the European Union (EU) in certain areas and increase investor protection.

Reign Capital Limited (hereafter referred to as “**Reign Capital**” or “**RC**”) has welcomed MiFID II and is working hard to implement the necessary changes. We aim to invest in our people, processes, and systems for the purpose of ensuring our clients’ interests.

The following are some of the significant changes brought through MiFID II:

- For clients with advisory and/or discretionary portfolios, when changing the mandate, or for new clients, in addition to completing the current Investor Profile assessment, we will also complete an Attitude to Risk questionnaire.
- Each year we will assess the information outlined in our Client Suitability Report to ensure it continues to be in line with our long-term objectives and goals.
- For execution-only clients, the regulation increases the requirement for investment firms to consider their clients’ knowledge and experience before making investments. This means we will alert clients that investing in a complex financial instrument may not be appropriate for all investors

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