

Cyprus Investment Firms (CIFs)
COMPLIANCE CALENDAR 2023

CIFs under Cyprus Securities and Exchange Commission (CySEC)
REPORTING OBLIGATIONS CALENDAR 2023

The reporting obligations deadlines may be altered upon CySEC’s decisions throughout the year.

Reporting Obligations to CySEC	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sep.	Oct.	Nov.	Dec.
Shareholders Statement	31.01.23 (at least annually, the CIF Law has no deadline)											
Notification of Tied Agents	31.01.23 (at least annually, the CIF Law has no deadline)											
Monthly Prevention Statement	15.01.23	15.02.23	15.03.23	15.04.23	15.05.23	15.06.23	15.07.23	15.08.23	15.09.23	15.10.23	15.11.23	15.12.23
Complaints Registry	05.01.23	05.02.23	05.03.23	05.04.23	05.05.23	05.06.23	05.07.23	05.08.23	05.09.23	05.10.23	05.11.23	05.12.23
Quarterly Statistics <i>Form QST-CIF</i>	For Q4 2022 31.01.23			For Q1 2023 30.04.23			For Q2 2023 31.07.23			For Q3 2023 31.10.23		
New Form CB-CIF for Cross Border Activities	27.01.23											
New Form CA-CIF for provision of Investment Services and Activities per Country (on a quarterly basis)		For Q4 2022 13.02.23			For Q1 2023 12.05.23			For Q2 2023 11.08.23			For Q3 2023 11.11.23	
IFR Reporting for <u>Class 2</u> CIFs (Form 165-01 – submitted on a <u>quarterly</u> basis) and <u>Class</u>		For Q4 2022 11.02.23			For Q1 2023 12.05.23 <i>(for Class 2 CIFs)</i>			For Q2 2023 11.08.23			For Q3 2023 11.11.23	

3 CIFs (Form 165-02 – submitted on an annual basis), Solo or Consolidated - Based on <u>unaudited management accounts</u>		(for both Class 2 and Class 3 CIFs)						(for Class 2 CIFs)			(for Class 2 CIFs)	
Audited IFR Reporting for Class 2 CIFs (Form 165-01A) and Class 3 CIFs (Form 165-02A), Solo or Consolidated - Based on <u>Audited Financial Statements</u> as at 31.12.2022					For Q4 of 2022 31.05.23 (for both Class 2 and Class 3 CIFs)							
Statement of Eligible Funds - accompanied by the External Auditor’s Report as to the correctness of the Statement					10.05.23							
Annual Fees (Form 87-03-01)				30.04.23								
ICF Annual contribution fee – (through ICF email)							10.07.23 (If a discount applies)	10.08.23 (If no discount applies)				
ICF Liquidity Buffer Confirmation Form 87-07-05					20.05.23							
AMLCO - Anti-Money Laundering Compliance Officer’s Annual Report for the Year 2022 and BoD Minutes		submit to BoD by 28.02.23	31.03.23									
IA - Internal Auditor’s Annual Report for the Year 2022 and BoD Minutes			submit to BoD by 31.03.23	30.04.23								
CO - Compliance Officer’s Annual Report for the Year 2022 and BoD Minutes			submit to BoD by 31.03.23	30.04.23								
RM - Risk Manager’s Annual Report for the Year 2022 and BoD Minutes			submit to BoD by 31.03.23	30.04.23								
Annual Audited Financial Statements (incl. Auditor’s report and country by country statement)				30.04.23								
Annual Auditor’s Suitability Report (measures taken for Safeguarding Clients’ assets / rights)				30.04.23								

Public Disclosures Report (Applicable for Class 2 and Class 3 CIFs that issue Additional Tier 1 Capital).				30.04.2023 (through own website)								
External Auditor's Verification Report on Public Disclosures Report (through CySEC portal)					31.05.23							
Prudential Supervision Information (Form 165-03)						30.06.23						
Risk-Based Supervision Framework (RBS-F)						18.06.23						
Internal Capital Adequacy and Risk Assessment Process (ICARA) Report (upon CySEC's request for Class 3 CIFs)						No specific deadline						
Recovery Plan (Form 20-01) - Applicable to all EUR 750K CIFs									30.09.23 (every two years)			

Other Reporting Obligations	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sep.	Oct.	Nov.	Dec.
Renewal of Registration of Certified Persons		28.02.23										
Common Reporting Standards (CRS) Reporting (through Ariadni tax)						30.06.23						
Foreign Account Tax Compliance Act (FATCA) Reporting (through Ariadni tax)						30.06.23						
Annual RTS 28 (through own website)				30.04.23								
Quarterly Survey QSEFI-QRVS (through CBC portal)		For Q4 of 2022 20.02.23 (upon CBC request)			For Q1 of 2023 24.05.23 (upon CBC request)			For Q2 of 2023 21.08.23 (upon CBC request)			For Q3 of 2023 17.11.23 (upon CBC request)	

Quarterly RTS 27 Execution Quality of Transactions (through own website) ¹			For Q4 of 2022 31.03.23			For Q1 of 2023 30.06.23			For Q2 of 2023 30.09.23			For Q3 of 2023 31.12.23
CIR Package - XBRL format (through CBC portal)				30.04.23								
Annual Disclosure & Market Discipline Report (through own website)				30.04.23								
Annual Contribution fee to the National Resolution Fund (through CBC email)					31.05.23							
CIF will be notified for their ICF annual contribution fee (through ICF email)						10.06.23						
Audited Financial Statements to the Statistics Department and Central Bank of Cyprus (through CBC email)					17.05.2023							

Notes:
¹RTS 27 Reporting: In accordance with CySEC’s Circular C549, the RTS 27 reporting obligation, upon agreement between ESMA and European Commission, will be deleted. Final decision is expected to be announced within 2023.

Should you need more information or assistance you can email us at info@mnkriskconsulting.com or call us at 25-508201.