Market Data Processor (MDP) Entity Administrator User Form

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| **Legal name of entity** | **LEI** |
| **FRN** |

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| **Important information you should read before completing this form**  MiFID II involves large changes in the volumes and range of data that entities, with an obligation to report any of the market data types, need to submit to us. We have developed a new Market Data Processor (MDP) system to help manage this. The MDP Entity Portal is a web based application which allows entities to access information they have submitted to the MDP system. The MDP Entity Portal provides four main areas of functionality:  1. Access to the MDP Industry Test Environment (ITE) Entity Portal for connectivity and conformance testing from 3 July 2017,  2. Access to the MDP Entity Portal production environment to submit market data from 3 January 2018,  3. A facility to request transaction reporting sample data from both ITE and the production environment.  4. A management information facility that allows entities that have established connectivity to the MDP system to submit market data, to monitor the status of their own file submissions.  The MDP administrator user is responsible for creating and managing standard user accounts within the MDP Entity Portal for the entity. This includes managing any password resets or permission changes for all associated standard users. To become an MDP administrator user you must complete this form. The administrator named in this form will be given access to all data provided by the applicant to the MDP system. The applicant should establish appropriate internal policies and procedures to manage risk associated with administrator access to the data held in the MDP system.  **You should use this form to register an MDP Administration User account to access the MDP Entity Portal if you are:**   * an executing entity (that *has not* *established connectivity* with the MDP system to submit transaction reports) with an obligation to report transactions under Article 26(1) MiFIR, required to request sample transaction data in accordance with Article 15(3) Delegated Regulation (EU) No 2017/590. Transaction report data extracts can be requested from both ITE and the production environment. * An entity that *has established connectivity* with the MDP system during ITE, required to download its digital certificate from the MDP Entity Portal to submit market data to the production environment from 3 January 2018.   **An entity can only use the MDP Entity Portal to access market data that it has submitted.**  An entity that operates an ARM, an APA, a MTF and a RM for example will be able to access all of the market data types submitted by those entities.  A third party technology provider will not be able to access data it has submitted for an entity, unless the entity’s MDP admin user creates a standard user account for the third party technology provider in the MDP Entity Portal.  **Transaction reporting sample data**  An executing entity will only be able to access transaction reports it has submitted directly to the MDP, via an ARM or trading venue through whose system the transaction was completed.  An ARM or trading venue will only be able to access data that it has submitted. If a trading venue uses an ARM to submit transaction reports to the FCA, it will not be able to access those transaction reports; the trading venue will need to contact the ARM.  **Terms in this form**  In this form the FCA uses the following terms:   * 'FCA', 'we', 'our' or 'us' refers to the Financial Conduct Authority * 'You', ‘authorised person’ refers to the person(s) signing the MDP Administrator User account form on behalf of the entity * ‘ARM’ refers to Approved Reporting Mechanism * ‘APA’ refers to Approved Publication Arrangement * ‘RM’ refers to Regulated Market * ‘MTF’ refers to Multilateral Trading Facility * ‘Executing entity’ refers to investment firms which execute transactions in financial instruments – Article 26 of Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (‘MiFIR’)   **Filling in the form**  **1** If you are using your computer to complete the form:   * use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and * save the completed form   **2** If there is not enough space on the form you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.  **3** Email completed form to [mrt@fca.org.uk](mailto:mrt@fca.org.uk)  **Contents**  **1** About the entity 3  **2** Personnel 4  **3** IP address details 6  **4** Declaration 7 |

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|  | **About the entity registering an MDP Administrator User account**  Details of the type of entity requesting registration to the MDP Entity Portal |

**Is the entity seeking access to the MDP Entity portal:**

**1.1** An ARM, trading venue, or executing entity, who *has* *established connectivity* with the MDP system to submit transaction reports to us in accordance with Article 26(7) MiFIR.

Yes

No

**1.2** An executing entity with an obligation to report transactions under Article 26(1) MiFIR (who *has not established connectivity* with the MDP system to submit transaction reports) and wants to request sample transaction data in accordance with Article 15(3) Commission Delegated Regulation (EU) No 2017/590 of 28 July 2016 supplementing Regulation (EU) No 600/2014 with regard to regulatory technical standards for the reporting of transactions to competent authorities.

Yes

No

**1.3** An entity with market data reporting obligations, who has established connectivity with the MDP system (or used a third party technology provider) to submit financial instrument reference data, transparency reports, double volume cap reports or commodity position reports to the FCA?

Yes

No

**1.4** If you answered ‘No’ to all the questions 1.1 – 1.3, then you should contact [mrt@fca.org.uk](mailto:mrt@fca.org.uk) to discuss.

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| 2 | **Personnel**  This section should be completed by all entities as we require information on key points of contact. |

**Contact details**

**2.1 Business Liaison contact details for the Production Environment**

This individual will be the primary contact held on FCA records for any future correspondence once the technical connection is established and will be given a **Production Environment Admin user account.**

If the business contact for each data type is different, please replicate the box provided below as many times as required.

|  |  |  |
| --- | --- | --- |
| Data Type |  | |
| Title |  | |
| First name(s) |  | |
| Surname |  | |
| Job title |  | |
| Phone number (including STD code) | |  |
| Mobile number (mandatory)[[1]](#footnote-1) | |  |
| Email address |  | |

**For executing firms[[2]](#footnote-2) only:**

**2.2 Manager contact details for the MDP ITE**

This will be the primary contact for IT related enquiries and will be given an MDP Administrator user account in the ITE of MDP.

|  |  |  |
| --- | --- | --- |
| Title |  | |
| First name(s) |  | |
| Surname |  | |
| Job title |  | |
| Business address |  | |
|  |
|  |
|  |
| Postcode |  | |
| Phone number (including STD code) | |  |
| Mobile number (mandatory)[[3]](#footnote-3) | |  |
| Email address |  | |

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| 3 | **IP address details**  This section should be completed by all entities. |

In order to protect the submission process and limit inappropriate access attempts, we will accept submissions and data requests only from pre-authorised sources. To achieve that, you are required to provide your organisation’s fixed public facing IP address or a defined IP address range (assigned to your organisation) **which your company will use to communicate to the FCA MDP system**. Any access attempts from addresses not previously authorised by the FCA will not be connected to the service.

**Please list your IP address range or individual IP addresses.**

**3.1 All entities: Desktops for web access to the MDP Entity Portal**

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| --- | --- | --- |
| **Subnet Address** | **Subnet Mask** | **Description (how you would describe the range in question)** |
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**3.2 Entities that have *established connectivity* with the MDP system: SFTP Servers for submitting files and collecting responses**

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| --- | --- | --- |
| **Subnet Address** | **Subnet Mask** | **Description (how you would describe the range in question)** |
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**Note: access to the MDP Entity Portal is required to download credentials required to connect to the MDP system.**

Where you update or change your IP address range, the update will need to be submitted through the FCA’s on boarding change control process. Following submission, you will be notified when the new source addresses access is allowed.

We expect a limited range of addresses (**up to 64**) to be provided from each applicant to minimise inappropriate use.

Please attach additional page if required.

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| 4 | **Declaration**  This section should be completed by an authorised person and should not  be the same individual in section 1 above. |

**Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under sections 398 and 400 of the Financial Services and Markets Act 2000, Regulation 31 of the Markets in Financial Instruments Regulations 2017 and Regulation 34 of the Data Reporting Services Regulations 2017, as appropriate. SUP 15.6.1R and SUP 15.6.4R require an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.

If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed.

You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

**Data Protection**

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000, the Markets in Financial Instruments Regulations 2016, the Data Reporting Services Regulations 2016 and other relevant legislation and may be disclosed to third parties for those purposes.

**Declaration**

In signing the declaration below I confirm that:

* I am authorised to make this registration request on behalf of the applicant named on the front of this form.
* I confirm the information in this application is accurate and complete to the best of my knowledge and belief.
* I am aware that it is an offence to knowingly or recklessly give the FCA information which is false or misleading in a material particular.
* I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
* I will notify the FCA immediately if there is a significant change to the information given in the form.

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| Date |  |
| Name of signatory[[4]](#footnote-4) |  |
| Position[[5]](#footnote-5) of signatory |  |
| Signature |  |

1. This is required for the receipt of a one-time password for the MDP Entity portal and SFTP pass phrases. [↑](#footnote-ref-1)
2. Entities that have established connectivity with the MDP system to submit instrument reference data, transparency reports, double volume cap reports or commodity position reports are automatically set up in the ITE during MDP On-boarding. [↑](#footnote-ref-2)
3. This is required for the receipt of a one-time password for the MDP Entity portal and SFTP pass phrases. [↑](#footnote-ref-3)
4. The signatory must be a suitable person of appropriate seniority at the firm. [↑](#footnote-ref-4)
5. e.g., Director, Sole Trader, Compliance Officer or in the case of DRSPs a member of the management body. [↑](#footnote-ref-5)