

MiFID II Wholesale Firms Conference

19 October 2015, ExCel

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Breakout session: Transaction reporting

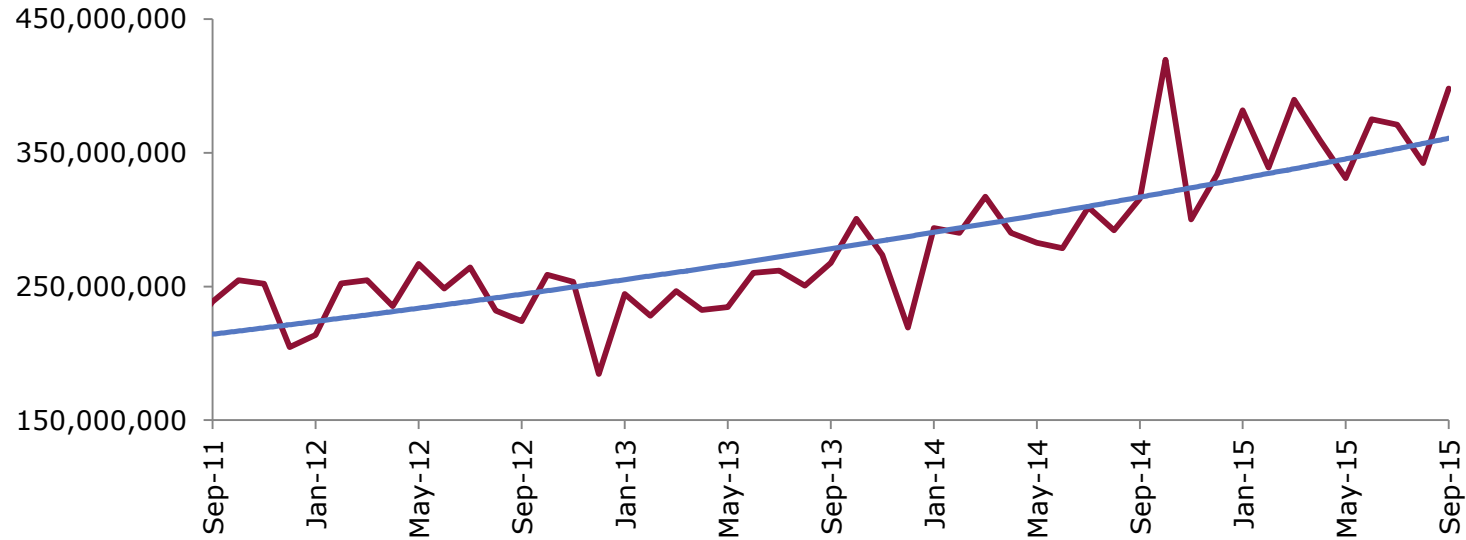
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Overview of transaction reporting

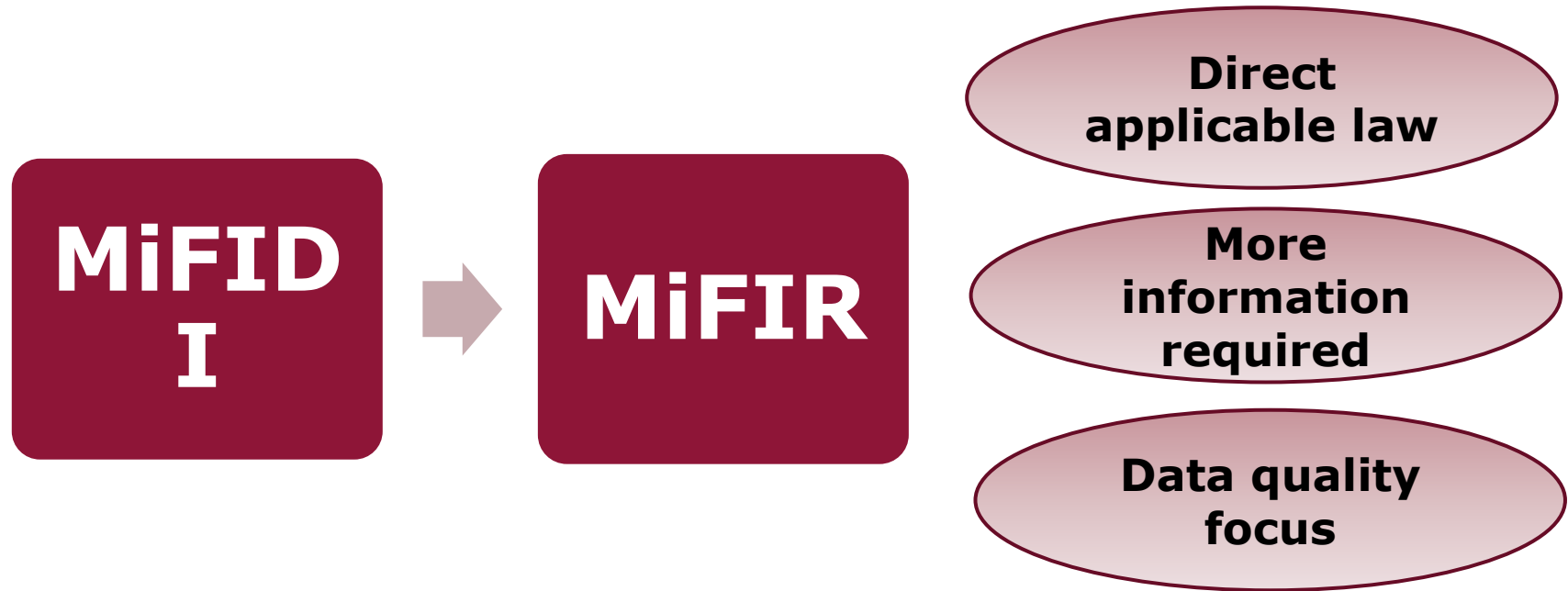
- Definition of transaction and execution of a transaction in the context of transaction reporting
- Use of identifiers
- Transaction reporting information

Transaction reporting context

Transaction Reports received by the FCA



Transaction reporting context



Definition of transaction and execution of a transaction

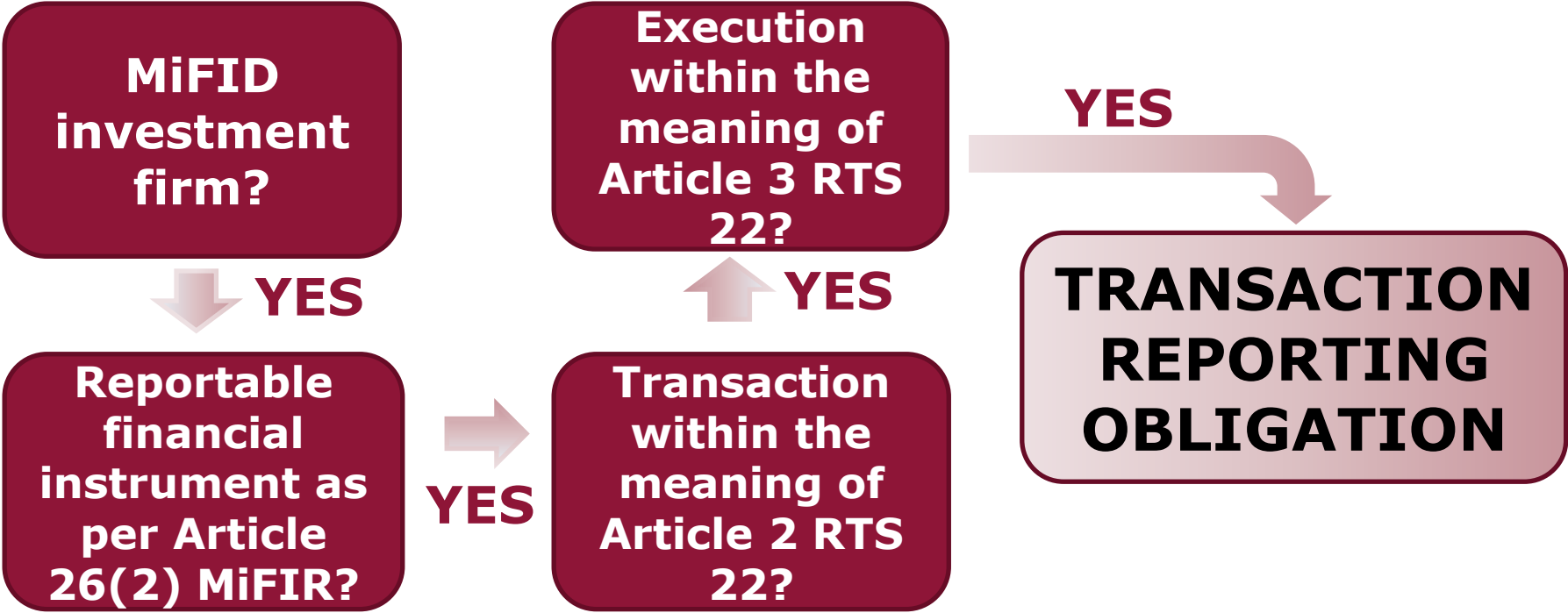
Transaction

- acquisition/disposal of a reportable financial instrument
- specified exclusions apply

Execution

- activity that results in a transaction

Definition of transaction and execution of a transaction



Use of identifiers

Identification of parties

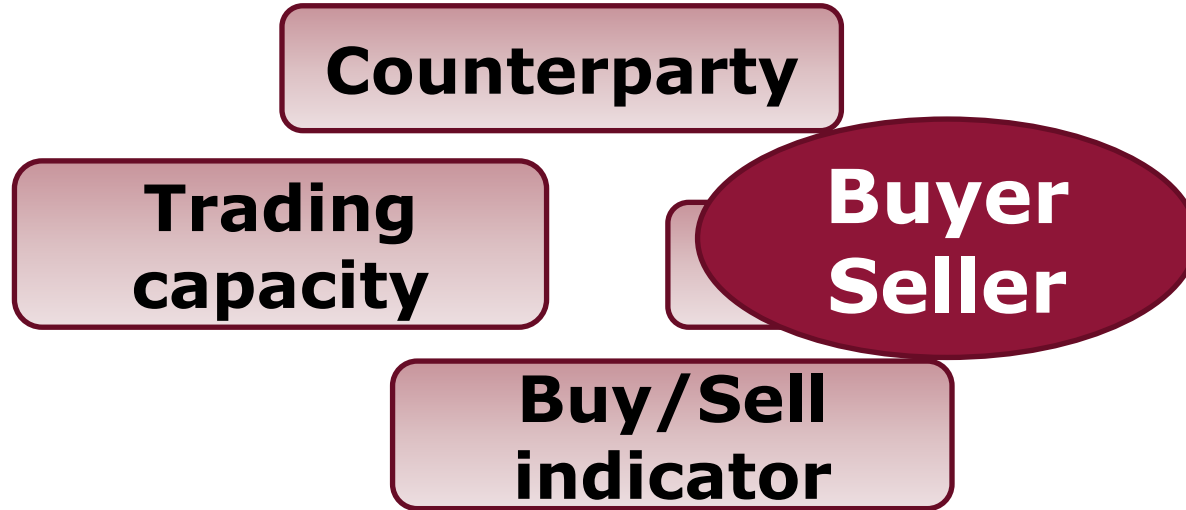
- Legal Entity Identifier (LEI)
- National Identifier/Concatenated code

Identification of instruments

- ISO 6166 International Securities Identification Number (ISIN)

Transaction reporting information

CURRENT REPORTING APPROACH



Transaction reporting information

Why more fields?

- *MiFIR Level 1 requirement*
 - *Information required for processing and analysis*
- 
- 23 fields** **65 fields**

Questions?
