

10 July 2020

Our Ref: FOI7381

Freedom of Information: Right to know request

Thank you for your email of 11 June 2020, about firm submissions of EMIR Breach Notifications and MiFIR Transaction Reporting.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and have answered each question in turn.

### **European Market Infrastructure Regulation (EMIR)**

***1. Please can you let me know how many firms have submitted an 'EMIR Breach Notification form' to notify the FCA about any errors or omissions in their reports under Art. 9 of EMIR***

***(a) The total number of reports received from 3 January 2018 to 29 May 2020.***

We can confirm that between 3 January 2018 and 29 May 2020 the FCA received 400 notifications from firms regarding EMIR Art 9 reporting errors and omissions. Please note that this figure includes instances where the same firm has submitted notifications on more than one occasion.

### **Markets in Financial Instruments Regulation (MiFIR)**

***(b) Additionally, please can you tell me how many firms have submitted a MiFIR Transaction Reporting 'Error and Omission form***

We can confirm in line with the requirement in Article 15(2) of Commission Delegated Regulation 2017/590 (RTS 22), 623 firms submitted at least one transaction reporting errors and omissions notification form between 3 January 2018 and 29 May 2020.

***(c) And the total number of reports received during the same period.***

Between 3 January 2018 to 29 May 2020, 15,823,659,156 transaction reports were accepted by the FCA's Market Data Processor (MDP).

**2. Please can you tell me how many MiFIR transaction reports received by the FCA have been corrections of previously submitted reports**

We do not hold this information as there is no field within a transaction report that indicates that a correction is being made.

**(a) And what percentage this represents of the overall number of transaction reports submitted to the FCA in the period from 3 January 2018 to 29 May 2020.**

We do not hold this information.

**Your right to complain under FOIA**

If you are unhappy with this response, you have the right to request an internal review. To do so, please contact us within 40 working days of the date of this response.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner by phone or on their website at:

Telephone: 0303 123 1113

Website: [www.ico.org.uk](http://www.ico.org.uk)