

26 May 2020

Our Ref: FOI7261

### **Freedom of Information: Right to know request**

Thank you for your email of 27 April 2020, in which you asked for the following information:

- 1) Since January 2020 to date, how many investment firms have reported errors in their transaction reporting*
- 2) Since January 2020 to date, how many firms has the UK regulator held visits, meetings or conference calls for the specific purpose of discussing the quality of their transaction reporting?*
- 3) Since January 2020 to date, how many firms have requested a data extract from the regulator's Market Data Processor (MDP) system against which to check the accuracy of their reporting?*

We have processed your request in line with the provisions of the Freedom of Information Act 2000 and our response is as follows.

#### Point 1

Between 1 January 2020 and 30 April 2020, 228 firms submitted a transaction reporting errors and omissions notification to the FCA, in line with the requirements of Commission Delegated Regulation (EU) 2017/590 (RTS 22) Article 15(2).

#### Point 2

Between 1 January 2020 and 30 April 2020, the FCA held visits, meetings or conference calls with 33 firms for the specific purpose of discussing transaction reporting under the Markets in Financial Instruments Regulation (MiFIR).

#### Point 3

Between 1 January 2020 and 30 April 2020, 540 firms requested a transaction reporting data extract from the FCA's Market Data Processor Entity Portal, in accordance with the requirements of RTS 22 Article 15(3).

### **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)

Yours sincerely

**Information Disclosure Team**