

14 August 2020

Our Ref: FOI7472

Freedom of Information: Right to know request

Thank you for email of 17 July 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). We have answered each of your questions in turn:

European Market Infrastructure Regulation (EMIR)

- 1. Please can I ask for the number of firms that have been responsible for sending these 400 notifications between 3 January 2018 and 29 May 2020, regarding EMIR Art 9 reporting errors and omissions.***

We can confirm that between 3 January 2018 and 29 May 2020 the FCA received 400 notifications from 157 firms regarding EMIR Art 9 reporting errors and omissions.

Markets in Financial Instruments Regulation (MiFIR)

- 2. it was actually the number of error and omission forms we were looking for. Please can you tell us how many error and omission forms have been received within this period?***

Between 3 January 2018 and 29 May 2020, 3,184 transaction reporting errors and omissions notifications were received by us.

- 3. Please can you tell me how many MiFIR transaction reports received by the FCA have been corrections of previously submitted reports. The field 1 'Status' in conjunction with fields 2 'Transaction Reference Number' and 4 'Executing Entity ID code' the can be used to determine whether the report is a***

correction. We appreciate that the methodology is convoluted, so we would be grateful if you can simply tell us how many reports were re-conceived in this period where the field 3 'Status' has been populated with a value of 'CANC'

Between 3 January 2018 and 29 May 2020, 2,366,551,789 transaction reports were accepted by the FCA's Market Data Processor with a report status of CANC. This includes instances where transaction reports are cancelled and not subsequently resubmitted; for example, where a transaction report was submitted (and the report was accepted) but no reporting obligation existed.

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