

14 December 2020

Our Ref: FOI7857

Freedom of Information: Right to know request

Thank you for your email of 3 December 2020 about the FCA's investigations into transactions reports.

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.

The information contained in this response is correct as at 17 November 2020.

1. *The number of unique Legal Entity Identifier (LEIs) representing the EXECUTING ENTITY for a transaction report (RTS22) submitted to the FCA, broken down by year 2018, 2019, and YTD 2020.*

The number of unique LEIs identified as the "executing entity" in a transaction report received by the FCA is presented by submission date and year below. This data includes instances where a transaction report is submitted to the FCA by a UK trading venue under Article 26(5) of MiFIR on behalf of an executing entity that is not subject to transaction reporting obligations. It does not include transaction reports received by the FCA through ESMA's Transaction Reporting Exchange Mechanism (TREM).

Year	2018	2019	2020 YTD
Unique Executing Entities	3,092	3,575	3,298

2. The number of transaction reports processed by the FCA, broken down by year 2018, 2019, and YTD 2020.

Please note the number of transaction reports received by the FCA is presented by trade date rather than by submission date.

Year	2018	2019	2020 YTD
Transaction Reports Received	7,079,688,487	5,561,550,417	6,388,090,244

3. *The number of "Errors & omissions notification forms" received by the FCA, broken down by year 2018, 2019, and YTD 2020.*

Year	2018	2019	2020 YTD
Errors and Omissions Notifications Received	1,335	1,269	1,250

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:

Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team