

**Data Reporting Services Provider (DRSP)**

**Cancellation of authorisation**

**Legal name of DRSP**

|  |
| --- |
|  |

**Firm reference number (FRN)**

|  |
| --- |
|  |

**Purpose of this form**

You should use this form (MAR 9 Annex 4D) if you are a DRSP that wishes to:

* cancel your data reporting services authorisation in line with Regulation 10 of the Data Reporting Services Regulations 2024, to stop providing **ALL** data reporting services.

Please refer to the table ‘DRSP authorisation and supervisory forms’ on the DRSP page of our website: www.fca.org.uk/markets/data-reporting-services-providers-drsps/drsp-authorisation-supervision-forms) to check what each DRSP authorisation and supervisory form is for and when you should use them.

**Important information - read before completing this form**

We require all applicant firms to provide these details as part of their application for cancellation.

Please keep a copy of the forms you complete and any supporting documents you include with this notification for your future reference.

The FCA processes personal data in line with the requirements of UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website: <https://www.fca.org.uk/privacy>

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under section 398 of the Financial Services and Markets Act 2000. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this notification. You must notify us immediately of any significant change to the information provided.**

**Terms in this form**

In this form we use the following terms:

* **‘**We’, 'our', or ‘us’ refers to the Financial Conduct Authority (FCA)
* ‘Applicant firm’ refers to the person applying to cancel their authorisation
* ‘You’ refers to the person(s) signing the form on behalf of the applicant firm
* ‘DRS’ refers to Data Reporting Service
* ’DRSP’ refers to Data Reporting Services Provider
* ‘MAR 9’ refers to our guidance in the [FCA Handbook](https://www.handbook.fca.org.uk/handbook/MAR/9/?view=chapter)

**Filling in in the form**

**1** If you are using your computer to complete the form:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question and
* print out the form you have completed and sign the declaration in this form

**2** If you are filling in the form by hand:

* use black ink
* write clearly in block capitals and
* sign the declaration in this form

**3** If you think a question is not relevant to you, write 'not applicable' and explain why.

**4** If you leave a question blank, you do not sign the declaration or you do not attach the required supporting information without telling us why, we will treat the application as incomplete. This will increase the time taken to assess your application.

**5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**6** Submit the form by email to: [cancellation.team@fca.org.uk](mailto:cancellation.team@fca.org.uk)

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| --- | --- |
| 1 | **Cancellation - notes** |

Before completing this form to cancel your DRSP authorisation and stop providing ALL Data Reporting Services (DRSs), you may find it helpful to discuss the application with your usual supervisory contact at the FCA.

If you want to remove some, but not all of your DRSs you should use the application form for variation of authorisation (MAR 9 Annex 3D) to vary the DRSs that the firm is authorised to provide.

If you expect the wind-down (run-off) of your business to take longer than six months, it may be appropriate for you to vary your DRS before beginning the wind-down. Please contact your usual supervisory contact to discuss your options.

You should ensure that you include all relevant information and the declaration page in the submitted form. If not, your application may be delayed while we seek the outstanding information and/or confirmation. Ultimately, we may refuse your application if you do not provide the outstanding information and/or confirmation.

To enable us to process this application to cancel your DRS you should have taken the appropriate steps and be able to answer **YES** to each question below

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| * Are your firm’s FCA fees paid and  up-to date? |  |  |
| * Can you confirm that you do not have any outstanding submissions to the FCA relating to the provision of DRSP services? |  |  |
| * Can you confirm that there are no unsatisfied or undischarged complaints against the firm that have not been fully dealt with in line with your firm's complaints procedures? |  |  |
| * If your firm has not yet ceased carrying on all data reporting services will it stop doing so within the next six months? |  |  |

|  |  |  |
| --- | --- | --- |
| * Have you submitted an MDP disconnection form available at [Market data reporting and MDP | FCA](https://www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp)? |  |  |
| * Have you submitted a wind-down plan? |  |  |

If you are not able to answer YES to all the questions above, please contact [mdis@fca.org.uk](mailto:mdis@fca.org.uk) to discuss this cancellation.

|  |  |
| --- | --- |
| 1 | Contact details |

**Contact details**

**1.1** Contact person at DRSP for this request

|  |  |
| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First name(s) |  |

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title |  |
| DRSP name |  |

|  |  |
| --- | --- |
| Business address |  |
|  |
|  |
|  |
| Postcode |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Email address |  |

|  |  |
| --- | --- |
| 2 | Cancellation - details |

**2.1 The DRSP has ceased to provide all its DRSs from (dd/mm/yyyy):**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

**or**

**The DRSP will cease to provide all DRSs from (dd/mm/yyyy):**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

If you do not intend to cease providing all data reporting services within the next six months, you should **NOT** apply at this stage.

**2.2 What are your firm’s reason(s) for cancellation (please tick as appropriate)**

1. Adverse market conditions
2. Ceased to provide any data reporting services (Business  
    still trading)
3. Business ceased to trade
4. DRSP business transferred to / merged with another DRSP **(please complete section 3)**
5. Data reporting services never provided since obtaining authorisation
6. Other (please provide details)

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| 3 | **Transfer of business details** |

If your firm’s business is to be transferred to or merged with more than one DRSP, please copy this page and complete for each DRSP, and attach to this application.

**3.1 Name of the DRSP you are transferring your business to or merging with**

|  |
| --- |
|  |

**3.2 When do you propose to transfer to or merge this business? (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

**3.3 What provisions will be made to ensure any future complaints are dealt with appropriately?**

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| --- |
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**3.4 Is the DRSP named in 3.1 currently authorised or registered by the FCA?**

No⏵ What date do you expect it to become Authorised (dd/mm/yyyy)

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

Yes ⏵Please provide the FCA firm reference number (FRN) below

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| --- |
|  |

**3.5 Address of the DRSP named** **in 3.1**

|  |  |
| --- | --- |
| Address |  |
|  |
|  |
|  |
| Postcode |  |

**3.6 Name of the principal contact at the firm named in 3.1**

|  |
| --- |
|  |

**3.7 Telephone number of the principal contact at the firm named in 3.1**

|  |
| --- |
|  |

**3.8 Email address of the principal contact at the firm named in 3.1**

|  |
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|  |  |
| --- | --- |
| 4 | Declaration  The application must be signed by the person who is responsible for making the application on behalf of the applicant firm |

**Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

**Data protection**

To comply with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that we will use any personal information provided to us to discharge our statutory functions under the Data Reporting Services Regulations 2024 and other relevant legislation and may be disclosed to third parties for those purposes.

**Declaration**

In signing the declaration below I confirm that:

* I am authorised to make this application for cancellation on behalf of the applicant named on the front of this form.
* I confirm the information in this application is accurate and complete to the best of my knowledge and belief.
* I understand it is an offence to knowingly or recklessly give the FCA information which is false or misleading in a material particular.
* I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
* I will notify the FCA immediately if there is a significant change to the information given in the form. If I fail to do so, this may result in a delay in the application process or enforcement action.

Tick here to confirm you have read and understood this declaration.

|  |  |
| --- | --- |
| **Date** |  |
| **Name of signatory[[1]](#footnote-1)** |  |
| **Position of signatory** |  |
| **Signature** |  |

1. The signatory must be a member of the management body of the DRSP. [↑](#footnote-ref-1)