

**Data Reporting Services Provider (DRSP)**

**Material Change in information**

 **Legal name of DRSP**

|  |
| --- |
|       |

 **Firm reference number (FRN)**

|  |
| --- |
|       |

**Purpose of this form**

You should use this form (MAR 9 Annex 5R) if you are a DRSP that wishes to:

* notify us **before** implementing a **material change** in information provided at authorisation and after that in accordance with MAR 9.3.1R.

This includes information relating to:

* a change of the name or address of the DRSP
* the outsourcing of any critical function, this includes the use of data centres outside of the UK by Approved reporting mechanisms (ARMs)
* planned significant changes to a DRSP’s IT system

However, this is not an exhaustive list and you should use this form to notify us of other material changes. Please describe the change in section 2.9 including your reasons for treating the change as material.

Please refer to the table ‘DRSP authorisation and supervisory forms’ on the DRSP page of our website (<https://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**

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

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 given 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.

**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 notifying material changes
* ‘You’ refers to the person(s) signing the form on behalf of the applicant firm
* ’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: mdis@fca.org.uk

Alternatively post the application form to the FCA at:

The Market Data Infrastructure Supervision Team
The Financial Conduct Authority
12 Endeavour Square
London
E20 1JN

**Contents**

1 Contact details 4

2 Notification details 5

3 Declaration and signature 8

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

 **Contact details**

* 1. Contact person at the DRSP for this notification

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

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

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

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

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

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

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

|  |  |
| --- | --- |
| 2 | Notification details  |

 **Change to name and/or address**

**2.1 Is this a change to the Registered Name of the firm?**

 [ ]  No

 [ ]  Yes⏵ Please complete 2.2, 2.3 and 2.4

**2.2** **Effective date of the name change (dd/mm/yyyy)**

**2.3** **Has the change of Registered Name been approved by Companies House (if applicable)?**

 [ ]  Yes

 [ ]  No

**2.4 I confirm that the change requested does not involve a change of legal status**

 [ ]

**2.5 Is this a change to the address?**

 [ ]  No

 [ ]  Yes⏵ Please enter new address details below

|  |
| --- |
|        |

**2.6** **Effective date of the address change (dd/mm/yyyy)**

|  |
| --- |
|       |

**Material Change**

**2.7**  **Is this a planned change?**

[ ]  No

[ ]  Yes⏵ You must notify the FCA of the material change at least one month before the change takes effect.

 **2.8 Effective date of the material change (dd/mm/yyyy)**

|  |
| --- |
|       |

 2.9 Please describe the change you are telling us about

|  |
| --- |
|       |

 2.10 Please provide your reason(s) for the change and provide supporting documentation where appropriate

|  |
| --- |
|       |

 2.11 Please describe why you have deemed this change to be material with reference to the provision in MAR 9 to which the change relates

|  |
| --- |
|  |

2.12 Additional comments (optional)

|  |
| --- |
|       |

**2.13** [ ]  **I confirm that the firm will continue to be compliant with the conditions of its authorisation following the implementation of the notified change.**

|  |  |
| --- | --- |
| 3 | Declaration and signature |

**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 Service 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 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**

By submitting this notification form:

* I confirm that the information in this application is accurate and complete to the best of my knowledge and belief.
* I am aware that it is an offence to knowingly or recklessly give the FCA information that 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 notifier 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 this notification.

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

|  |  |
| --- | --- |
| **Date** |       |
| **Name of signatory[[1]](#footnote-2)** |       |
| **Position of signatory** |       |
| **Signature** |  |

1. The signatory must be a member of the management body of the DRSP. [↑](#footnote-ref-2)