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**Data Reporting Services Provider**

**Notification form for temporary deemed authorisation to provide a data reporting service under The Data Reporting Services Regulations 2017**

**Full legal name of entity**

|  |
| --- |
|  |

**Legal Entity Identifier**

|  |
| --- |
|  |

**Important information you should read before completing this form**

You should use this form to notify us, under condition 12A(3)(b) of The Data Reporting Services Regulations 2017 (DRS Regs), that you wish to be treated as if you are authorised to provide a data reporting service under condition 12A(1) of the DRS Regs, amended under Regulation 20 of the Markets in Financial Instruments (Amendment) (EU Exit) Regulations 2018. Please keep a copy of your completed form and any supporting documents you include for future reference.

The FCA processes personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 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: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy).

**It is important that you provide accurate and complete information. Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under Regulation 29 of the DRS Regs. 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.**

**Terms in this notification**

In this notification we use the following terms:

* 'you' refers to the person(s) signing the form on behalf of the applicant entity
* 'the applicant entity ' refers to the entity applying for temporary deemed authorisation
* ‘we’, ‘us’, ‘our’ or ‘FCA’ refers to the Financial Conduct Authority
* ‘DRSP’ refers to a Data Reporting Services Provider

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**Filling in the notification form**

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

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question

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

**3** If you leave a question blank or do not attach the required supporting information we may have to treat the notification as incomplete. This will increase the time taken to assess your notification.

**4** If there is not enough space on the form you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**5** If you are relying on other documents to answer any questions in this form, please include a link/reference to the relevant information and indicate clearly in which specific section of the documentation the answer can be found. If this is not provided we will consider your notification incomplete.

**6** Email the notification and any supporting documents to us at: [Authorisation3@fca.org.uk](mailto:Authorisation3@fca.org.uk).

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| --- | --- |
| 1 | General information  Information needed to identify if the entity satisfies the deemed authorisation requirements under condition 12A of the Data Reporting Services Regulations 2017. |

* 1. **Is the entity established in an EEA state other than the United Kingdom?**

No⏵An entity must be established in an EEA member state immediately before exit day. Please contact [mrt@fca.org.uk](mailto:mrt@fca.org.uk) to discuss this notification.

Yes⏵Continue to 1.2

* 1. **(a) Entity’s address (principal place of business)**

|  |  |
| --- | --- |
| Address |  |

|  |  |
| --- | --- |
| Contact person |  |

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

|  |  |
| --- | --- |
| Phone number |  |

**(b) Name of the entity’s Home Competent Authority (CA)**

|  |
| --- |
|  |

* 1. **Please confirm the date of the entity’s establishment (****dd/mm/yyyy)**

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

* 1. **Is the entity authorised by its Home CA (specified in 1.2(b) above) in accordance with Title V of MiFID or permitted to provide a data reporting service in accordance with Article 59.2 of that directive?**

No⏵An entity must be authorised (or, in the case of market operators of trading venues verified) by their Home CA to provide a data reporting service, immediately prior to exit day. Please contact [mrt@fca.org.uk](mailto:mrt@fca.org.uk) to discuss this notification.

Yes⏵Continue to 1.5

* 1. **Please confirm the type of data reporting service the entity has been authorised to provide by its Home CA**

Approved reporting mechanism

Approved publication arrangement

Consolidated tape provider

* 1. **Please confirm the date the entity was authorised or verified by its Home CA to provide the data reporting service(s) specified in 1.5 (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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Contact for this notification

* 1. **Contact details of the person we will get in touch with about this notification**

This must be a member of the management body of the data reporting services provider.

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

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

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

|  |  |
| --- | --- |
| Job title |  |

|  |  |
| --- | --- |
| Principal place of business |  |
|  |
|  |
|  |
| Postcode |  |

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

|  |  |
| --- | --- |
| Mobile number (optional) |  |

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

* 1. **Is the entity party to any pending judicial, administrative arbitration or any other litigation proceedings? Particularly, in regard to tax and insolvency matters and where significant financial or reputational costs may be incurred, or any non-pending proceedings, that may still have any material impact on data reporting service costs.**

No

Yes ⏵Give details below

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 2 | Data reporting service and connectivity to the FCA  Use this section to provide information on the data reporting service the entity is seeking to provide in the UK and connectivity requirements to the [Market Data Processor (MDP) system.](https://www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp) |

**First time connectivity to MDP system**

EEA DRSPs providing a data reporting service in the UK that requires connecting to our system for the first time under the temporary authorisation regime will need to on-board to our [MDP system](https://www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp) and pay the [applicable fee](https://www.handbook.fca.org.uk/handbook/FEES.pdf).

**Existing connectivity to MDP system and additional market data type**

EEA DRSPs that have on-boarded to our MDP system currently providing one data reporting service in the UK will need to conformance test if they are going to provide an additional data reporting service and submit a new market data type, and pay the [applicable fee.](https://www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp)

**Existing connectivity to MDP system and no additional market data type**

EEA DRSPs that have on-boarded to our MDP system currently providing one data reporting service in the UK and not seeking to provide an additional data reporting service do not have any further connectivity requirements to the MDP system.

**2.1** **Please confirm the type of data reporting service the entity is seeking to provide under the deemed authorisation regime in the UK:**

Approved reporting mechanism

Approved publication arrangement

Consolidated tape provider

**2.2** **Is the entity currently providing a data reporting service in the UK ?**

No⏵Continue to 2.5

Yes⏵Continue to 2.3

**2.3 Please indicate which data reporting service the entity currently provides in the UK:**

Approved reporting mechanism

Approved publication arrangement

Consolidated tape provider

**2.4 Has the entity established connectivity to our MDP system for all the data reporting service(s) indicated in 2.3?**

Yes⏵Continue to Section 3

No⏵Please indicate below which data reporting service the entity has not established connectivity to the MDP system:

Approved reporting mechanism

Approved publication arrangement

Consolidated tape provider

**2.5 Has the entity started the MDP on-boarding process?**

No

Yes

**Please note an entity that submits a valid notification, will only be able to provide a service in the UK once it has demonstrated conformance with our technical specification and successfully on-boarded to the FCA’s MDP system.**

|  |  |
| --- | --- |
| 3 | Information on the entity |

Organisational chart

**3.1 You must attach a current organisational chart for the entity.**

Attached

Members of the management body

**3.2 You must attach a complete current list of members of the management body.**

If you notify your Home CA of any changes to the membership of the management body, you must also submit a copy of the notification to the FCA.

Attached

|  |  |
| --- | --- |
| 4 | Declaration and signatures |

Declaration

**Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under Regulation 29 of the Data Reporting Services Regulations 2017. 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.

**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.

|  |  |
| --- | --- |
| Name of signatory[[1]](#footnote-1) |  |

|  |  |
| --- | --- |
| Position of signatory |  |

|  |  |
| --- | --- |
| Signature |  |

Date (dd/mm/yyyy)

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

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