

**Data Reporting Services Provider (DRSP)**

**Variation of Authorisation**

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|  |

**Legal name of DRSP**

**Firm reference number (FRN)**

|  |
| --- |
|  |

**Purpose of this form**

You should use this form (MAR 9 Annex 3D) if you are a DRSP that wishes to:

* Vary its authorisation to provide one or more additional data reporting services in accordance with Regulation 11(1) of the Data Reporting Services Regulations 2024 or;
* Vary its authorisation so as to remove one or more data reporting services in accordance with Regulation 11(1) of the Data Reporting Services Regulations 2024, where at least one data reporting service will continue to be provided going forward.

Please refer to the table entitled “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](http://www.fca.org.uk/markets/data-reporting-services-providers-drsps/drsp-authorisation-supervision-forms)) , for confirmation as to the purpose of each DRSP authorisation and supervisory form, and the circumstances under which each form should be used.



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

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

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

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 , please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations 2017 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, 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 form**

* **‘We’, 'our', or ‘us’** refers to the Financial Conduct Authority (FCA)
* **‘Applicant firm’** refers to the person applying to vary 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)
* **‘MDP’** refers to the FCA Market Data Processor system([www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp](https://www.fca.org.uk/markets/market-data-regimes/market-data-reporting-mdp))

**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: [Authorisation3@fca.org.uk](mailto:Authorisation3@fca.org.uk)

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| 1 | Contact details |

**1.1 Contact person details for this request**

|  |  |
| --- | --- |
| Name |  |

|  |  |
| --- | --- |
| Position/ Role |  |

|  |  |
| --- | --- |
| DSRP name |  |

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

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

|  |  |
| --- | --- |
| 2 | Type of application |

|  |
| --- |
| **Nature of the application** - please see details for which sections to complete depending on the type of application.  **Provide one or more additional data reporting services**  If you are applying to provide one or more additional data reporting services, you should complete:   * section 3 - Provide one or more additional data reporting services, and follow the instructions for the additional forms required * section 6 - Declaration   **Remove one or more data reporting services**  If you are applying to remove one or more data reporting services (where at least one data reporting service will continue to be provided going forward) you should complete:   * section 4 - Remove one or more data reporting services * section 5 - Transfer of business details, if relevant * section 6 - Declaration |

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| 3 | **Provide one or more additonal data reporting services** |

|  |
| --- |
| Please tick the relevant box(es):  **Current DRS(s) being provided:**  Approved Reporting Mechanism  Approved Publication Arrangement  Consolidated Tape Provider  **Additional DRS(s) you wish to provide:**  Approved Reporting Mechanism  Approved Publication Arrangement  Consolidated Tape Provider  **For each additional DRS the applicant wishes to provide, the applicant will be required to complete and submit the application form to provide the service of a DRSP (**[**MAR 9 Annex 1D**](https://www.handbook.fca.org.uk/handbook/MAR/9/Annex1.html)**, and the notification form for list of members of a management body (**[**MAR 9 Annex 2D**](https://www.handbook.fca.org.uk/handbook/MAR/9/Annex2.html)**). When completing these forms, reference should be made to the guidance notes to the DRSP authorisation forms, available on the FCA website.**  If you are not removing one or more DRSs, please go to section 6 – Declaration |

|  |  |
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| 4 | **Remove one or more data reporting services - Notes** |

Before completing this form to vary your authorisation so as to remove one or more data reporting services (DRSs), where at least one DRS will continue to be provided going forward, you may find it helpful to discuss the application with your usual supervisory contact at the FCA.

You should ensure that all relevant information and the declaration page are included in your application. If not, your application may be delayed while we seek the outstanding information and/or confirmation. Ultimately your application may be refused if the outstanding information and/or confirmation are not provided.

If you want to cancel your data reporting services authorisation, for the purposes of ceasing provision of **ALL** DRSs, you should use the Application form for cancellation of authorisation (MAR 9 Annex 4D).

To enable the FCA to process this application to cease provision of one or more DRSs, you should have taken the appropriate steps and be able to answer **YES** to each question below **for all the services you wish to remove**:

|  |  |  |
| --- | --- | --- |
|  | 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 accordance with your firm's complaints procedures? |  |  |
| * If your firm has not yet ceased carrying on a data reporting service will it cease to do so within the next six months? |  |  |

|  |  |  |
| --- | --- | --- |
| * Have you submitted an MDP disconnection form available at [www.fca.org.uk](http://www.fca.org.uk)? |  |  |

If you are not able to answer YES to all the questions above for all the services that you wish to remove, you should contact [mdis@fca.org.uk](mailto:mdis@fca.org.uk) before you make this application.

|  |  |
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| 4 | **Remove one or more data reporting services** |

Please tick the relevant box(es):

**Current DRS(s) being provided:**

Approved Reporting Mechanism

Approved Publication Arrangement

Consolidated Tape Provider

**DRS(s) you wish to remove:**

Approved Reporting Mechanism

Approved Publication Arrangement

Consolidated Tape Provider

**4.1 The DRSP has ceased to provide one or more DRS(s) from (dd/mm/yyyy):**

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

**or**

**The DRSP will cease to provide one or more DRS(s) from (dd/mm/yyyy):**

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

If you do not intend to cease providing one or more data reporting service(s) within the next six months, you should **NOT** apply at this stage.

**4.2 What are your firm’s reason(s) for removing one or more DRS(s) (please tick as appropriate)**

1. Adverse market conditions
2. Ceased to provide data reporting service(s) (Business  
   still trading)
3. DRSP business transferred to another DRSP

**(please complete section 5)**

1. Data reporting service(s) never provided since obtaining

authorisation

1. Other (please provide details below)

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| --- |
|  |

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| --- | --- |
| 5 | **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.

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

|  |
| --- |
|  |

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

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

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

|  |
| --- |
|  |

**5.4 Is the DRSP named in 5.1 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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|  |

**5.5 Address of the DRSP** named **in 5.1**

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

**5.6 Name of the principal contact at the firm named in 5.1**

|  |
| --- |
|  |

**5.7 Telephone number of the principal contact at the firm named in 5.1**

|  |
| --- |
|  |

**5.8 Email address of the principal contact at the firm named in 5.1**

|  |
| --- |
|  |
|  |
| 6 | Declaration and signature  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**

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that any personal information provided to us will be used 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 to vary authorisation(s) 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)