

**Yearly Notification Form for a Data Reporting Service Provider (DRSP)**

**Legal name of DRSP**

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**Firm reference number (FRN)**

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**Purpose of this form**

You should use this form (MAR 9 Annex 8R) to confirm:

* that you continue to comply with the Data Reporting Services Regulations 2024 and the relevant provisions of MAR and SYSC; and
* the information provided to us at the time of authorisation and thereafter is in accordance with MAR 9.2.1D and MAR 9.3.1R.

This information must be provided pursuant to MAR 9.3.8G, which states that a data reporting services provider must provide the information in MAR 9 Annex 8D:

* Within 3 months after the 12-month anniversary of the commencement of its authorisation, and
* Then every year within 3 months after the same date.

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

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

It is important 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**

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 for authorisation
* ‘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): www.handbook.fca.org.uk/handbook
* ‘ARM’ refers to Approved reporting mechanism
* ‘APA’ refers to Approved publication arrangement
* ‘CTP’ refers to Consolidated tape provider

**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 notification as incomplete. This will increase the time taken to assess it.

**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

**7** Alternatively, you may post the application form to the FCA at:

The Market Data Infrastructure Supervision Team

The Financial Conduct Authority

12 Endeavour Square

London

E20 1JN

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

* 1. **Contact person at the DRSP for this notification**

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

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

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| --- | --- |
| DRSP Name |       |

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| Phone number (including STD code) |       |

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

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|  2 | Notification details  |

 I confirm that the DRSP continues to be compliant with the conditions of authorisation, as follows:

**2.1 Information on the organisation (MAR 9 Annex 1D – Information on the organisation)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.2 Information on corporate governance ((MAR 9 Annex 2D – Information on corporate governance)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.3 Information on members of the management body (MAR 9 Annex 1D – Information on members of the management body)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.4 Information on conflicts of interest ((MAR 9.2B.2R)**

 [ ]  Yes

 [ ]  No – Please explain below

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 **2.5 Information on organisational requirements regarding outsourcing (MAR 9.2B.3R)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.6 Information on business continuity and back-up facilities (MAR 9.2B.4R)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.7 Information on testing and capacity (MAR 9.2B.5R)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.8 Information on security (MAR 9.2B.6R)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.9 Information on management of incomplete or potentially erroneous information by APAs and CTPs (MAR 9.2B.15R and MAR 9.2B.31R, respectively)**

 [ ]  Yes

 [ ]  No – Please explain below

 [ ]  Not applicable

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**2.10 Information on management of incomplete or potentially erroneous information by ARMs (MAR 9.2B.10R)**

 [ ]  Yes

 [ ]  No – Please explain below

 [ ]  Not applicable

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**2.11 Information on connectivity of ARMs (MAR 9.2B.11R)**

 [ ]  Yes

 [ ]  No – Please explain below

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**2.12 Information on other services provided by CTPs (MAR 9.2B.14R)**

 [ ]  Yes

 [ ]  No – Please explain below

 [ ]  Not applicable

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**2.13 Information on publication arrangements (MAR 9.2B.19R and MAR 9.2B.34R)**

 [ ]  Yes

 [ ]  No – Please explain below

 [ ]  Not applicable

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**2.14 Information on financial resources (MAR 9.2C.1R)**

 [ ]  Yes

 [ ]  No – Please explain below

 [ ]  Not applicable

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|  3 |  Declaration  |

**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**

By submitting this notification form:

* I verify 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 am aware that any document which demonstrate the notifying firm’s compliance with the obligations referred to in section 2 of this form must be available to the FCA on request.
* 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.

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| --- | --- |
| **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)