**Notification Form: Art. 9 EMIR Reporting Obligation**

*Purpose of this form*

*Firms may use this form to notify FCA of any errors or omissions in their reports under Art. 9 of EMIR*

1. Firm name

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2. Contact name

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3. E-mail address

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4. Telephone number

5. Type of issue

6. Please specify the relevant technical standard in question (e.g. [148/2013](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:052:0001:0010:EN:PDF) or [1247/2012](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:352:0020:0029:EN:PDF))

7. What was the root cause of your breach?

8. How was the breach discovered?

9. Please provide the number of transactions affected by the breach.

10. Please indicate the period when the issue occurred.

11. Has the issue been resolved?

12. If relevant, please provide the number of transactions to be back reported.

13. If relevant, please provide the relevant trade repository.

14. What action and/or escalation have you taken so far?

15. What is your remediation plan?

16. When do you expect the breach to be fixed?

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17. Please detail any weaknesses in your firm’s systems and controls discovered as a result of your breach, and your plans to address them.

If you have any queries in regard of this or any other EMIR related issue please contact us at [EMIR@fca.org.uk](mailto:EMIR@fca.org.uk).