



Notice of intention to provide arrangements to facilitate the access to an MTF or an OTF from another EEA State under the Markets in Financial Instruments Directive (MiFID)

FIRM NAME:	
FIRM REFERENCE NUMBER (FRN):	
DATE:	

Purpose of this form

This form replicates Annex IV of ITS 4A and should be completed in accordance with ITS 4A and RTS 3A

You should complete this form if you are a UK firm or market operator that wishes to provide arrangements to facilitate the access to an MTF or an OTF from another EEA State, or to make changes to existing arrangements, under MiFID.

Important information you should read before completing this form

A UK firm or market operator can only use this form if it is entitled to provide such arrangements subject to the conditions of MiFID (see Schedule 3 to, and section 312C of, the Financial Services and Markets Act 2000 (FSMA)). By completing this form, you are confirming this is the case. UK firms and market operators should consult the legislation or take professional advice both in the UK and in the relevant EEA State(s) if they are in any doubt.

We give guidance on this in the Supervision manual (SUP) and REC 4.2B). In particular, a UK firm or market operator that wants to exercise an EEA right must have the corresponding permission included in its Scope of Permission.

Filling 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. Once completed, print the relevant sections and sign the declaration in section 3.
2. If you are filling in the form by hand, use black ink, write clearly and, once you have completed the relevant sections, sign the declaration in section 3.
3. All firms should answer sections 1 and 2. If you are notifying us of a change in particulars, complete only those parts of the form relevant to the change in particulars.

1. Contact information	
Type of notification:	Provision of/ Changes to the particulars of the notification for the provision of arrangements to facilitate access to MTF /OTF
Member State in which the investment firm/ market operator intends to provide arrangements:	
Name of investment firm/ market operator:	
Address:*	
Telephone number:*	
E-mail:	
Name of the contact person at the investment firm / market operator:	
Home Member State:	United Kingdom
Authorisation Status:	Authorised by the Financial Conduct Authority
Applicable Law:	
Authorisation Date:	
Name of the MTF/ OTF:	
Date at which the arrangements will be provided:	

** to be completed only if information amended*

2 Business Model's description

Type of traded financial instruments: *

Type of trading participants: *

Type of appropriate arrangements: *

Marketing: *

** to be completed only if information amended*

Note:

Please note you can only use this form to provide access to an MTF or OTF. If you would like to passport other activities, please submit another notification.