MiFID I Transaction reporting errors and failures notification form

The Transitional provision, (SUP Transitional Provision (TP 9), applies the provisions under MiFID I to transactions that took place prior to 3 January 2018 and the provisions in SUP 17 and TRUP will apply in respect of transactions executed before 3 January 2018.

Section 10.3 ‘Transaction reporting failures and errors’ of page 45 of TRUP v 3.1 states that if your firm finds errors in transaction reports or fails to submit some or all of its transaction reports as required under SUP17 the FCA expects you to notify he Markets Reporting Team (MRT) as soon as possible and to notify your FCA supervisor. Firms may wish to use this form when complying with its duty to notify MRT and the firm’s FCA supervisor. Use of this form should help ensure that the FCA is provided with necessary information for the purposes of handling errors and failures in MiFID I transaction reporting.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Today’s Date   |  | | --- | |  |   Firm name   |  | | --- | |  |   FRN   |  | | --- | |  |   Contact name (if we have additional questions)   |  | | --- | |  |   Email address   |  | | --- | |  |   Telephone number   |  | | --- | |  |   Issue type   |  | | --- | |  |   TRUP Version 3 guidance/SUP17 rule breached   |  | | --- | |  |   Root cause   |  | | --- | |  |   How discovered   |  | | --- | |  |   Number of transaction reports impacted   |  | | --- | |  |   Issue occurred during the period below   |  | | --- | |  |   Number of transactions to be back reported\*   |  | | --- | |  |   ARM (*up to 12 January 2018* only)   |  | | --- | |  |   Action taken so far   |  | | --- | |  |   Who within the firm has oversight responsibility for transaction reporting   |  | | --- | |  |   Please detail any weaknesses in your firm’s systems and controls and your plans to address them   |  | | --- | |  |   Please detail any planned audit or compliance monitoring reviews of transaction reporting and the scope of these reviews   |  | | --- | |  |   If you have any queries in regard of this or any other transaction reporting issue please contact us at [mrt@fca.org.uk](mailto:mrt@fca.org.uk)  \*If known – if not known please report an estimate and the date by which you expect to be able to provide this information. |  |