

Chapter 5

Multilateral trading facilities (MTFs)

5.7 Pre- and post-trade transparency requirements for equity and non-equity instruments: form of waiver and deferral

5.7.1 **R** [deleted]

5.7.1A **D** A *firm* that makes an application to the *FCA* for a waiver in accordance with articles 4 or 9 of *MiFIR* (in relation to pre-trade transparency for equity or non-equity instruments) must make it in the form set out in **MAR 5 Annex 1D**.

[**Note:** articles 4 and 9 of *MiFIR*, *MiFID RTS 1* and *MiFID RTS 2*]

5.7.1B **G** [deleted]

5.7.1C **D** A *firm* intending to apply to the *FCA* for deferral in accordance with articles 7 or 11 of *MiFIR* in relation to post-trade transparency for equity or non-equity instruments must apply in writing to the *FCA*.

[**Note:** articles 7 and 11 of *MiFIR*, *MiFID RTS 1* and *MiFID RTS 2*]

5.7.1D **G** A *firm* should have regard to the urgency and significance of a matter and, if appropriate, should also notify its usual supervisory contact at the *FCA* by telephone or by other prompt means of communication, before submitting a written application. Oral notifications should be given directly to the *firm's* usual supervisory contact at the *FCA*. An oral notification left with another person or on a voicemail or other automatic messaging service is unlikely to have been given appropriately.

5.7.2 **EU** [deleted]

5.7.3 **EU** [deleted]

5.7.4 **EU** [deleted]

5.7.5 **EU** [deleted]

5.7.6	G	[deleted]
5.7.7	EU	[deleted]
5.7.8	EU	[deleted]
5.7.9	EU	[deleted]
5.7.10	EU	[deleted]
5.7.11	EU	[deleted]
5.7.12	G	[deleted]