

Organised trading facilities (OTFs)

## Chapter 5A

# Organised trading facilities (OTFs)



## 5A.7 Monitoring compliance with the rules of the OTF

5A.7.1

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A *firm* must:

- (1) have effective arrangements and procedures relevant to its *OTF* for the regular monitoring of the compliance by its users with its rules; and
- (2) monitor the transactions undertaken by its users under its systems in order to identify breaches of those rules, disorderly trading conditions, system disruptions in relation to a *financial instrument*, or conduct that may involve *market abuse*.

[**Note:** article 31(1) of *MiFID*]