

## Chapter 17A

# Transaction reporting and supply of reference data

## 17A.1 Application

### 17A.1.1

**R**

This chapter applies to:

- (1) a *MiFID investment firm* (excluding a *collective portfolio management investment firm*) which:
  - (a) *executes transactions in a reportable financial instrument*; and
  - (b) is required under article 26(1) of *MiFIR* to report its *transactions* to the *FCA*;
- (2) an operator of a *trading venue*:
  - (a) through whose systems and platforms a *transaction in a reportable financial instrument* is *executed by a person not subject to MiFIR*; and
  - (b) which is required under article 26(5) of *MiFIR* to report such *transactions* to the *FCA*;
- (3) a *third country investment firm* which *executes transactions in a reportable financial instrument*; and
- (4) a *systematic internaliser* or an operator of a *trading venue* which is required under article 27 of *MiFIR* to supply identifying reference data relating to *financial instruments* traded on its system or *trading venue* to the *FCA*.

[**Note:** article 26 of *MiFIR* and *MiFID RTS 22* contain requirements regarding transaction reporting that are directly applicable to a *firm* in ■ SUP 17A.1.1R(1) or (2), and to an *ARM* or an operator of a *trading venue* which acts on behalf of a *MiFID investment firm* subject to article 26(1) of *MiFIR*]

### 17A.1.2

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GEN 2.2.22AR has the effect of requiring *third country investment firms* to comply with the transaction reporting requirements in article 26 of *MiFIR* and *MiFID RTS 22* as though they were *MiFID investment firms*.

[**Note:** article 27 of *MiFIR* and *MiFID RTS 23* contain requirements about the supply of reference data that are directly applicable to a *systematic internaliser* in relation to *financial instruments* traded on its system or a *trading venue* in relation to *financial instruments admitted to trading on a regulated market* or traded on an *MTF* or *OTF*]