

**DATA REPORTING SERVICES FORMS (AMENDMENT) INSTRUMENT 2024****Powers exercised**

- A. The Financial Conduct Authority (“FCA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
  - (2) section 137T (General supplementary powers); and
  - (3) section 300H (Rules relating to investment exchanges and data reporting service providers).
- B. The rule-making provisions listed above are specified for the purposes of section 138G(2) (Rule-making instruments) of the Act.

**Commencement**

- C. This instrument comes into force on 5 April 2024, immediately after the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42) comes into force.

**Amendments to the Handbook**

- D. The modules of the FCA’s Handbook of rules and guidance listed in column (1) below are amended in accordance with the Annexes to this instrument listed in column (2).

(1)	(2)
Glossary of definitions	Annex A
Market Conduct sourcebook (MAR)	Annex B
Decision Procedure and Penalties manual (DEPP)	Annex C
Recognised Investment Exchanges sourcebook (REC)	Annex D

**Amendments to material outside the Handbook**

- E. The Enforcement Guide (EG) is amended in accordance with Annex E to this instrument.

**Notes**

- F. In the Annexes to this instrument, the notes (indicated by “*Editor’s note:*”) are included for the convenience of readers but do not form part of the legislative text.

**Citation**

- G. This instrument may be cited as the Data Reporting Services Forms (Amendment) Instrument 2024.

By order of the Board  
28 March 2024

## Annex A

### Amendments to the Glossary of definitions

In this Annex, underlining indicates new text and striking through indicates deleted text.

Amend the following definition as shown.

[*Editor's note:* This Annex takes into account the changes made by the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42), which comes into force on 5 April 2024.]

*DRS*                    the Data Reporting Services Regulations ~~2023~~ 2024.  
*Regulations*        [*Editor's note:* add SI number once finalised]

## Annex B

### Amendments to the Market Conduct sourcebook (MAR)

In this Annex, underlining indicates new text and striking through indicates deleted text.

[*Editor's note:* This Annex take into account the changes made by the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42), which comes into force on 5 April 2024.]

#### 9 Data reporting service

...

#### 9.2B Operating requirements

...

~~Cost recovery for connecting to the CTP for bonds~~

9.2B.37 R ~~{to follow}~~ [deleted]

...

#### 9 Annex 1 Application form to provide the service of ARM and/or APA and/or CTP

D ~~{*Editor's note:* The form can be found at this address:  
<https://www.fca.org.uk/publication/forms/mifid-data-reporting-services-form.docx>}~~

[*Editor's note:* where a footnote reference number is struck through, the corresponding footnote is also deleted.]



## ANNEX I

### Application form for authorisation to provide data reporting services

...

**TO:**

~~Competent authority:~~ The Financial Conduct Authority

...

**Contact details of the designated contact point at the competent authority FCA**

...

Dear [insert appropriate name]

In accordance with ~~Article 2 of Commission Implementing Regulation (EU) 2017/1110~~<sup>1</sup> MAR 9.2.1D, please find attached the authorisation application.

...

**Content**

Please ~~insert the information referred to under Commission Delegated Regulation (EU) 2017/571~~<sup>2</sup> provide the information requested below. Please set out that information under the appropriate section or make reference to the relevant annexes containing the information.

Information on the organisation (~~Article 2 of Delegated Regulation (EU) 2017/571~~) of the applicant, including the following:

- information on the organisation, including an organisation chart and a description of the human, technical and legal resources allocated to the applicant's business activities;
- information on the compliance policies and procedures of the applicant, including:
  - a copy or explanation of the relevant policies or procedures;
  - the name of the person or persons responsible for the maintenance of those policies;
  - the arrangements to monitor and enforce the compliance policies and procedures;
  - the measures to be undertaken in the event of a breach which may result in a failure to meet the conditions for initial authorisation;
  - a description of the procedure for reporting to the FCA any breach which may result in a failure to meet the conditions for initial authorisation; and
  - such other information as the FCA may request; and

- a list of all outsourced functions and resources allocated to the control of the outsourced functions.

If you offer services other than data reporting services, please describe those services.

Information on corporate governance (~~Article 3 of Delegated Regulation (EU) 2017/571~~) policies and the procedures which govern the applicant's management body, senior management and, where established, committees, including the following:

- a description of the processes for selection, appointment, performance evaluation and removal of senior management and members of the management body;
- a description of the reporting lines and the frequency of reporting to the senior management and the management body; and
- a description of the policies and procedures on access to documents by members of the management body.

Information on the members of the management body (~~Article 4 of Delegated Regulation (EU) 2017/571~~) as set out in MAR Annex 2D.

Information on conflicts of interest (~~Article 5 of Delegated Regulation (EU) 2017/571~~) the arrangements designed to prevent conflicts of interest as set out in MAR 9.2B.2R. In addition, for an application for authorisation as a CTP, information on conflicts of interest obligations for CTPs as set out in MAR 9.2B.27R.

Information on organisational requirements regarding outsourcing (~~Article 6 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.3R. In addition, for an application for authorisation as a CTP, information on outsourcing obligations as set out in MAR 9.2B.29R.

Information on business continuity and back-up facilities (~~Article 7 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.4R.

Information on testing and capacity (~~Article 8 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.5R.

Information on security (~~Article 9 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.6R.

Information on management of incomplete or potentially erroneous information by APAs and CTPs (~~Article 10 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.15R.

Information on management of incomplete or potentially erroneous information by ARMs (~~Article 11 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.10R.

Information on management of incomplete or potentially erroneous information by CTPs, as set out in MAR 9.2B.31R and MAR 9.2B.32R(1) to (3).

Information on data quality for CTPs as set out in MAR 9.2B.32R.

Information on connectivity of ARMs (~~Article 12 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.11R.

Information on other services provided by CTPs (~~Article 13 of Delegated Regulation (EU) 2017/571~~) as set out in MAR 9.2B.14R.

Information on publication arrangements (~~Chapter 3 of Delegated Regulation (EU) 2017/571~~).

Information on machine readability, as set out for APAs in MAR 9.2B.17R and for CTPs in MAR 9.2B.35R.

Information on details to be published by APAs as set out in MAR 9.2B.19R.

Information on the scope of the consolidated tape for bonds and publication of information as set out in MAR 9.2B.34R.

Information on certification requirements for APAs as set out in MAR 9.2B.18R.

Information on non-discrimination obligations, as set out for APAs in MAR 9.2B.20R, for CTPs in MAR 9.2B.30R and for the CTP for bonds in MAR 9.2B.36R.

### **Additional information to be provided by consolidated tape providers**

Information on operational resilience as set out in SYSC 15A, including the CTP's self-assessment of its compliance with the requirements in that chapter (SYSC 15A.6.1R).

Information on financial resources requirements for CTPs as set out in MAR 9.2C.

Information on the arrangements for governance for CTPs as set out in MAR 9.2B.38R.

Information on the arrangements for the investigation and resolution of complaints as set out in MAR 9.2D.1R

D ~~[Editor's note: The form can be found at this address:  
https://www.fca.org.uk/publication/forms/mifid-management-body-  
members-form.docx]~~

[Editor's note: where a footnote reference number is struck through, the corresponding footnote is also deleted.]



## ANNEX II

### Application form for the list of members of the management body

...

#### TO:

~~Competent authority:~~ Financial Conduct Authority

...

#### ~~Contact details of the designated contact point at the~~ ~~competent authority~~ FCA

...

Dear [insert appropriate name]

In accordance with ~~Article 2 of the Commission Implementing Regulation (EU) 2017/1110~~ <sup>1</sup> MAR 9.2.1D, please find attached the notification relating to the members of the management body.

...

#### List of members of the management body

...

Criminal records attached to this application OR self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(d) of Commission Delegated Regulation (EU) 2017/571~~<sup>2</sup> into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement



Self-declaration of good repute and authorisation to the competent authority FCA to make enquiries under ~~Article 4(e) of Delegated Regulation (EU) 2017/571~~ into the matters set out in footnote 1 in relation to the member<sup>1</sup>

...

Insert the following footnote in the appropriate location. The text is not underlined.

<sup>1</sup> The FCA is authorised to enquire into whether the member has been:

- (i) subject to an adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority or government body or is the subject of any such proceedings which are not concluded;
- (ii) subject to an adverse judicial finding in civil proceedings before a court in connection with the provision of financial or data services, or for misconduct or fraud in the management of a business;
- (iii) part of the management body of an undertaking which was subject to an adverse decision or penalty by a regulatory authority or whose registration or authorisation was withdrawn by a regulatory authority;
- (iv) refused the right to carry on activities which require registration or authorisation by a regulatory authority;
- (v) part of the management body of an undertaking which has gone into insolvency or liquidation while the person held such position or within a year after which the person ceased to hold such a position;
- (vi) otherwise fined, suspended, disqualified, or been subject to any other sanction in relation to fraud, embezzlement or in connection with the provision of financial or data services, by a professional body; or
- (vii) disqualified from acting as a director, disqualified from acting in any managerial capacity, dismissed from employment or other appointment in an undertaking as a consequence of misconduct or malpractice.

Amend the following text as shown.

...

Additional information relevant for the assessment of whether the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties

pursuant to Regulation 13 of the Data Reporting Services Regulations 2017 MAR 9.2B.1R.

...

Criminal records attached to application OR self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(d) of Delegated Regulation (EU) 2017/571~~ into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement

Self-declaration of good repute and authorisation to the FCA to make enquiries into the matters set out in footnote 1 in relation to the member

...

Additional information relevant for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties referred to in Regulation 13 of the Data Reporting Services Regulations 2017 MAR 9.2B.1R.

...

### **9 Annex 3 Variation of Authorisation of a Data Reporting Services Provider (DRSP)**

- D The form can be found at this address:  
<https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.doc>



#### **Data Reporting Services Provider (DRSP) Variation of Authorisation**

...

#### **Purpose of this form**

You should use this form (MAR 9 Annex 3D) if you are a DRSP that wishes to:

- Vary its authorisation to provide one or more additional data reporting services in accordance with Regulation ~~12(1)~~ 11(1) of the Data Reporting Services Regulations ~~2017~~ 2024 or;
- Vary its authorisation so as to remove one or more data reporting services in accordance with Regulation ~~12(1)~~ 11(1) of the Data Reporting Services Regulations ~~2017~~ 2024, where at least one data reporting service will continue to be provided going forward.

...

### **Important information you should read before completing this form**

...

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.**

...

## 6

### **Declaration and signature**

The application must be signed by the person who is responsible for making the application on behalf of the applicant firm

### **Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

### **Data protection**

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018-, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation and may be disclosed to third parties for those purposes.

...

**9 Annex 4 Cancellation of Authorisation of a Data Reporting Services Provider (DRSP)**

- D The form can be found at this address:  
<https://www.fca.org.uk/publication/forms/drsp-cancellation-form.doc>



**Data Reporting Services Provider (DRSP)  
Cancellation of authorisation**

...

**Purpose of this form**

You should use this form (MAR 9 Annex 4-D) if you are a DRSP that wishes to:

- cancel your data reporting services authorisation in line with Regulation ~~11(1)(b)~~ 10 of the Data Reporting Services Regulations ~~2017~~ 2024, to stop providing **ALL** data reporting services.

...

**Important information - read before completing this form**

...

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this notification. You must notify us immediately of any significant change to the information provided.**

...

# 4

## Declaration

The application must be signed by the person who is responsible for making the application on behalf of the applicant firm

### Warning

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

### Data protection

To comply with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that we will use any personal information provided to us to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation and may be disclosed to third parties for those purposes.

...

### 9 Annex 5 Material Change in information for a Data Reporting Services Provider (DRSP)

Ⓓ The form can be found at this address:

℞ <https://www.fca.org.uk/publication/forms/drsp-material-change-notification.doc>



### Data Reporting Services Provider (DRSP) Material Change in information

...

### Purpose of this form

You should use this form (MAR 9 Annex ~~5D~~ 5R) if you are a DRSP that wishes to:

- notify us **before** implementing a **material change** in information provided at authorisation and after that ~~in line with article 1(2) of Commission Delegated Regulation (EU) 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers~~ in accordance with MAR 9.3.1R.

...

### **Important information – read before completing this form**

...

To comply with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that we will use any personal information given to us to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation and may be disclosed to third parties for those purposes.

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this notification. You must notify us immediately of any significant change to the information provided.**

### **Terms in this form**

In this form we use the following terms:

...

- ~~'Commission Delegated Regulation 2017/571'~~ refers to Commission Delegated Regulation (EU) No 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorization, organisational requirements and the publication of transactions for data reporting services providers

...

## **2** Notification details

...

**Material Change**

...

**2.11 Please describe why you have deemed this change to be material with reference to the ~~article in Commission Delegated Regulation 2017/571~~ provision in MAR 9 to which the change relates**

...

## 3 Declaration and signature

...

**Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

**Data protection**

To comply with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that we will use any personal information provided to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation and may be disclosed to third parties for those purposes.

...

### 9 Annex 6 Notification form for changes to the membership of the management body

- Ⓓ The form can be found at this address:  
 Ⓔ <https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.doc>

[*Editor's note:* where a footnote reference number is struck through, the corresponding footnote is also deleted.]



ANNEX III

**Notification form for changes to the membership of the management body**

...

**TO:**

Competent Authority: Financial Conduct Authority

...

**Contact details of the designated contact point at the competent authority FCA**

...

Dear [insert appropriate name]

In accordance with ~~Article 4 of the Commission Implementing Regulation (EU) 2017/1110<sup>1</sup>~~ MAR 9.3.2R, please find attached the notification on changes to the membership of the management body.

...

**Information on new member(s) of the management body**

...

Criminal records attached to this application OR self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(d) of Commission Delegated Regulation (EU) 2017/571<sup>2</sup>~~ into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement

Self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(e) of Commission Delegated Regulation (EU) 2017/571<sup>3</sup>~~ into the matters set out in footnote 1 in relation to the member<sup>1</sup>

...



Insert the following footnote in the appropriate location. The text is not underlined.

<sup>1</sup> The FCA is authorised to enquire into whether the member has been:

- (i) subject to an adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority or government body or is the subject of any such proceedings which are not concluded;
- (ii) subject to an adverse judicial finding in civil proceedings before a court in connection with the provision of financial or data services, or for misconduct or fraud in the management of a business;
- (iii) part of the management body of an undertaking which was subject to an adverse decision or penalty by a regulatory authority or whose registration or authorisation was withdrawn by a regulatory authority;
- (iv) refused the right to carry on activities which require registration or authorisation by a regulatory authority;
- (v) part of the management body of an undertaking which went into insolvency or liquidation while the person held such position or within a year after which the person ceased to hold such a position;
- (vi) otherwise fined, suspended, disqualified or subject to any other sanction in relation to fraud, embezzlement or in connection with the provision of financial or data services, by a professional body; or
- (vii) disqualified from acting as a director, disqualified from acting in any managerial capacity, dismissed from employment or other appointment in an undertaking as a consequence of misconduct or malpractice.

Amend the following text as shown.

...

Additional information relevant for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and

experience and commits sufficient time to perform the duties referred to in ~~Regulation 13 of the Data Reporting Services Regulations 2017~~ MAR 9.2B.1R.

...

Criminal records attached to this application OR self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(d) of Delegated Regulation (EU) 2017/571~~ into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement

Self-declaration of good repute and authorisation to the ~~competent authority~~ FCA to make enquiries ~~under Article 4(e) of Commission Delegated Regulation (EU) 2017/571~~ into the matters set out in footnote 1 in relation to the member<sup>1</sup>

...

Additional information relevant for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties referred to in ~~Regulation 13 of the Data Reporting Services Regulations 2017~~ MAR 9.2B.1R.

...

## 9 Annex FCA MDP on-boarding application form

7

Ⓓ ~~{Editor's note: The form can be found at this address:~~  
 Ⓔ [https://www.fca.org.uk/publication/forms/mdp\\_on-boarding\\_application\\_form.doc](https://www.fca.org.uk/publication/forms/mdp_on-boarding_application_form.doc)}



### Market Data Processor (MDP) On-boarding Application Form

...

# 9

## Declaration

This section should be completed by all applicant entities

### Warning

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under the law, including sections 398 and 400 of the Financial Services and Markets Act 2000, and Paragraph 16 of Schedule 1 to the Markets in Financial Instruments Regulations 2017 ~~and Regulation 29 of the Data Reporting Services Regulations 2017 as appropriate~~. SUP 15.6.1R and SUP 15.6.4R require an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.

...

### Data Protection

For the purposes of complying with the Data Protection Act ~~1998~~ 2018 and the UK General Data Protection Regulation, please note that any personal information provided to us will be used to discharge any of our functions and may be disclosed to third parties for those purposes or any other lawful purpose.

...

## 9 Annex 8 Yearly Notification Form for a Data Reporting Service Provider (DRSP)

Ⓓ The form can be found at this address:

Ⓔ <https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.doc>



### Yearly Notification Form for a Data Reporting Service Provider (DRSP)

...

### Purpose of this form

You should use this form (MAR 9 Annex ~~8D~~ 8R) to confirm that:

- ~~that~~ you continue to comply with the Data Reporting Services Regulations 2017 2024 and the relevant provisions of MAR ~~and SYSC~~; and
- the information provided to us at the time of authorisation and thereafter is in accordance with the ~~Commission Delegated Regulation 2017/571 of 2 June 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on the authorisation, organisational requirements and the publication of transactions for data reporting services providers (“RTS 13”)~~ MAR 9.2.1D and MAR 9.3.1R.

...

**Important information - read before completing this form**

...

It is important you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete, this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

...

**2 Notification details**

**I confirm that the DRSP continues to be compliant with the conditions of authorisation ~~under RTS 13~~, as follows:**

**2.1 Information on the organisation ~~(article 2 of RTS 13)~~ (MAR 9 Annex 1D – Information on the organisation)**

...

**2.2 Information on corporate governance ~~(article 3 of RTS 13)~~ (MAR 9 Annex 2D – Information on corporate governance)**

...

**2.3 Information on members of the management body ~~(article 4 of RTS 13)~~ (MAR 9 Annex 1D – Information on members of the management body)**

...

- 2.4** Information on ~~conflict~~ conflicts of interest (~~article 5 of RTS 13~~) (MAR 9.2B.2R)
- ...
- 2.5** Information on organisational requirements regarding outsourcing (~~article 6 of RTS 13~~) (MAR 9.2B.3R)
- ...
- 2.6** Information on business continuity and back-up facilities (~~article 7 of RTS 13~~) (MAR 9.2B.4R)
- ...
- 2.7** Information on testing and capacity (~~article 8 of RTS 13~~) (MAR 9.2B.5R)
- ...
- 2.8** Information on security (~~article 9 of RTS 13~~) (MAR 9.2B.6R)
- ...
- 2.9** Information on management of incomplete or potentially erroneous information by APAs and CTPs (~~article 10 of RTS 13~~) (MAR 9.2B.15R and MAR 9.2B.31R, respectively)
- ...
- 2.10** Information on management of incomplete or potentially erroneous information by ARMs (~~article 11 of RTS 13~~) (MAR 9.2B.10R)
- ...
- 2.11** Information on connectivity of ARMs (~~article 12 of RTS 13~~) (MAR 9.2B.11R)
- ...
- 2.12** Information on other services provided by CTPs (~~article 13 of RTS 13~~) (MAR 9.2B.14R)
- ...
- 2.13** Information on publication arrangements (~~Chapter III of RTS 13~~) (MAR 9.2B.19R and MAR 9.2B.34R)
- ...
- 2.14** Information on financial resources (MAR 9.2C.1R)

- Yes
- No – Please explain below
- Not applicable

# 3 Declaration

## Warning

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

## Data protection

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation, and may be disclosed to third parties for those purposes.

...

## 9 Annex 9 Data Reporting Services Provider (DRSP) Ad hoc notification

- D The form can be found at this address:  
 R <https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.doc>

**Data Reporting Services Provider (DRSP)  
Ad hoc notification**



...

## Purpose of this form

You should use this form (MAR 9 Annex ~~9D~~ 9R) if you are a DRSP that wishes to notify us about:

- ~~notify us about~~ breaches in physical and electronic security measures<sub>7,1</sub>

- service interruptions or connection disruptions, ~~and~~;
- errors or omissions in the transaction report caused by the Approved reporting mechanism (ARM); or
- any matter which you are required to notify us of under MAR 9.3.10R(2).

...

**Important information – read before completing this form**

...

To comply with the UK General Data Protection Regulation and the Data Protection Act 2018, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation, and may be disclosed to third parties for those purposes.

**It is important you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this notification. You must notify us immediately of any significant change to the information provided.**

...

**2 Notification details**

...

**2.2 Description of the issue, including the date(s) and time(s). Supporting documentation to be provided where appropriate.**

**Where the issue is being reported under MAR 9.3.10R(2), please include in the description the relevant rule or regulatory obligation and the reason why you are unable to comply with it.**



...

## 3 Declaration

### Warning

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under ~~Regulation 29 of the Data Reporting Services Regulations 2017~~ section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

### Data protection

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations ~~2017~~ 2024 and other relevant legislation, and may be disclosed to third parties for those purposes.

...

**Annex C**

**Amendments to the Decision Procedure and Penalties manual (DEPP)**

In this Annex, underlining indicates new text.

[*Editor’s note:* This Annex takes into account the changes made by the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42), which comes into force on 5 April 2024.]

**2 Statutory notices and the allocation of decision making**

...

**2 Annex 1 Warning notices and decision notices under the Act and certain other enactments**

...

<b>Data Reporting Services Regulations <del>2023</del> <u>2024</u></b>	<b>Description</b>	<b>Handbook reference</b>	<b>Decision maker</b>
...	...	...	...

...

**Annex D**

**Amendments to the Recognised Investment Exchanges sourcebook (REC)**

In this Annex, underlining indicates new text and striking through indicates deleted text.

[*Editor’s note:* This Annex takes into account the changes made by the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42), which comes into force on 5 April 2024.]

**2 Recognition requirements**

...

**2.16B Operation of a data reporting service**

Schedule to the Recognition Requirements Regulations, Paragraph 9I

2.16B.1 UK

A [ <i>UK RIE</i> ] providing data reporting services must comply with—	
(a)	the Data Reporting Services Regulations <del>2023-2024</del> ; and [ <i>Editor’s note:</i> add SI number once finalised]
(b)	...

...

## Annex E

### Amendments to the Enforcement Guide (EG)

In this Annex, underlining indicates new text and striking through indicates deleted text.

[*Editor's note:* This Annex takes into account the changes made by the Data Reporting Services (Amendment) Instrument 2023 (FCA 2023/42), which comes into force on 5 April 2024.]

#### **19 Non-FSMA powers**

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#### **19.35 Data Reporting Services Regulations ~~2023~~ 2024**

...

...