

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

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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*]
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- 5.7.1C

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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

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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.
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