

## Chapter 5A

# Organised trading facilities (OTFs)

## 5A.8 Reporting requirements

### 5A.8.1

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A *firm* must

- (1) report to the *FCA* any:
  - (a) significant breaches of the *firm's* rules;
  - (b) disorderly trading conditions;
  - (c) conduct that may involve *market abuse*; and
  - (d) system disruptions in relation to a *financial instrument*;
- (2) supply the information required under this *rule* without delay to the *FCA* and any other authority competent for the investigation and prosecution of *market abuse*; and
- (3) provide full assistance to the *FCA*, and any other authority competent for the investigation and prosecution of market abuse, in its investigation and prosecution of *market abuse* occurring on or through the *firm's* systems.

[**Note:** article 31(2) of *MiFID*, articles 81 and 82 of the *MiFID Org Regulation*, *MiFID RTS 18* and *MiFID ITS 2*]