

Market conduct

Chapter 9

Data reporting service

9.2 Authorisation and verification

Application form and notification form for members of the management body

- 9.2.1 **D** (1) Each of the following must complete the forms in (2):
- (a) an applicant for a *data reporting service* authorisation;
 - (b) a *MiFID investment firm* operating a *trading venue* seeking verification of its rights to provide a *data reporting service* under regulation 5(b) and (c) of the *DRS Regulations*; and
 - (x) a *UK RIE* operating a *trading venue* seeking verification of its rights to provide a *data reporting service* under regulation 5(d) of the *DRS Regulations*.
- (2) The forms in (1) are:
- (a) the application form at ■ MAR 9 Annex 1D; and
 - (b) the notification form for the list of members of the *management body* at ■ MAR 9 Annex 2D.

- 9.2.2 **G** ■ MAR 9 Annex 1D and ■ MAR 9 Annex 2D are derived from Annex I and Annex II respectively of *MiFID ITS 3*.

Variation of authorisation form

- 9.2.3 **D** If a *data reporting services provider* wishes to extend or otherwise vary its *data reporting service* authorisation it must complete the variation of authorisation form at ■ MAR 9 Annex 3D.
- 9.2.4 **G** ■ MAR 9 Annex 3D requires completion of Annex I of *MiFID ITS 3* in the case of an extension of authorisation and, if relevant, Annex II of *MiFID ITS 3* if the members of the *management body* are different from the existing authorised *data reporting services provider*.

Cancellation of authorisation form

- 9.2.5 **D** If a *data reporting services provider* wishes to cancel all of its *data reporting service* authorisation it must complete the cancellation of authorisation form at ■ MAR 9 Annex 4D.

Provision of the forms in MAR 9 Annexes 1D, 2D, 3D and 4D to the FCA
.....

9.2.6

D

A person must provide ■ MAR 9 Annexes 1D, 2D, 3D and 4D together with supporting documentation to the FCA by:

- (1) emailing MiFiDII.Applications@fca.org.uk; or
- (2) posting to the FCA addressed to:

The Financial Conduct Authority
FAO The Authorisations Support Team
12 Endeavour Square
London
E20 1JN.