

Market conduct

Chapter 9

Data reporting service

9.3 Notification and information

Notification to the FCA of material changes in information provided at the time of authorisation

- 9.3.1 **R** A *data reporting services provider* must promptly complete the material change in information form at ■ MAR 9 Annex 5R to inform the *FCA* of any material change to the information provided at the time of its authorisation.

Notification to the FCA of change to membership of management body

- 9.3.2 **R** A *data reporting services provider* must promptly complete the notification form for changes to the membership of the management body form at ■ MAR 9 Annex 6R to inform the *FCA* of any change to the membership of its *management body* before any change to the membership of its *management body* or when this is impossible within 10 working days after the change.

- 9.3.3 **G** [deleted]

Notification to the FCA by an APA or a CTP of compliance with connectivity requirements

- 9.3.4 **R** As soon as possible and within 2 weeks of being authorised as an *APA* or a *CTP*, an *APA* or a *CTP* seeking a connection to the *FCA's market data processor system* must:

(1) sign the *MIS confidentiality agreement* at ■ MAR 9 Annex 10R; and

(2) email it to MDP.onboarding@fca.org.uk or post an original signed copy to the *FCA* addressed to:

The Financial Conduct Authority
 FAO The Markets Reporting Team
 12 Endeavour Square
 London
 E20 1JN.

- 9.3.5 **G** (1) To ensure the security of the *FCA's systems*, the *FCA* requires an *APA* or a *CTP* to sign the *MIS confidentiality agreement* before receiving the *FCA's Market Interface Specification (MIS)*.

(2) Once the *FCA* receives the *MIS confidentiality agreement* from the *APA* or the *CTP*, the *FCA* will provide the *APA* or the *CTP* with *Market Interface Specification (MIS)*.

9.3.6 **R** An *APA* or a *CTP* seeking a connection to the *FCA's market data processor system* must complete the form at **MAR 9 Annex 7R** as soon as possible and no later than 4 weeks following authorisation as an *APA* or a *CTP*.

9.3.7 **G** The *FCA* expects an *APA* or a *CTP* to deal with it in an open and co-operative way in order to establish a technology connection for the provision of data to the *FCA* as required by article 22 of *MIFIR*.

Yearly notifications to the FCA

9.3.8 **R** A *data reporting services provider* must complete the yearly notification form in **MAR 9 Annex 8R**:

- (1) A *data reporting services provider* must complete the yearly notification form in **MAR 9 Annex 8D**:
- (2) then every year within 3 *months* of the same date.

9.3.9 **G** For example, if a *data reporting services provider's* authorisation commences on 8 April 2024, the *data reporting services provider* must provide the information in **MAR 9 Annex 8R** on or before 8 July 2025 and then every year thereafter on or before 8 July of that particular year.

Ad hoc notifications to the FCA

9.3.10 **R** (1) A *data reporting services provider* must promptly complete the ad hoc notification form in **MAR 9 Annex 9R** to notify the *FCA* in respect of all matters required by the *rules* in **MAR 9.2B.5R(3)**, **MAR 9.2B.6R(4)**, **MAR 9.2B.10R(8)** and **MAR 9.3.10R(2)**

- (2) A *data reporting services provider* must notify the *FCA* as soon as reasonably practicable if it considers that it is unable to comply with any *rule* in this chapter or other regulatory obligation, explaining the reasons why it is unable to comply.

9.3.11 **G** Information to be provided in **MAR 9 Annex 9R** includes information relating to breaches in physical and electronic security measures and service interruptions or connection disruptions.

Provision of the forms in MAR 9 Annexes 5R, 6R, 7R, 8R and 9R to the FCA

9.3.12 **R** A *data reporting services provider* must promptly provide the forms in **MAR 9 Annexes 5R**, **6R**, **7R**, **8R** and **9R** and supporting documentation to the *FCA*:

- (1) at MRT@fca.org.uk; or

(2) by posting it to the *FCA*, addressed to:

The Financial Conduct Authority

The Markets Reporting Team

12 Endeavour Square

London

E20 1JN.