

## 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 D A data reporting services provider must promptly complete the material change in information form at ■ MAR 9 Annex 5D 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 G 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 6D 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 ■ MAR 9 Annex 6D is derived from Annex III of MiFID ITS 3.

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

9.3.4 D 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 10D; 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  
25 The North Colonnade  
12 Endeavour Square  
Canary Wharf  
London  
E20 1JN.E14 5HS.

- 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** **D** An *APA* or a *CTP* seeking a connection to the *FCA's market data processor system* must complete the form at **MAR 9 Annex 7D** 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** **D** (1) within 3 *months* of the 12 *month* anniversary of the commencement of its authorisation; and
- (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 3 January 2018 the *data reporting services provider* must provide the information in **MAR 9 Annex 8D** on or before 3 April 2019 and then every year thereafter on or before 3 April of that particular year.

#### Ad hoc notifications to the FCA

- 9.3.10** **D** A *data reporting services provider* must promptly complete the ad hoc notification form in **MAR 9 Annex 9D** to notify the *FCA* in respect of all matters required by *MiFID RTS 13*.
- 9.3.11** **G** Information to be provided in **MAR 9 Annex 9D** includes information relating to breaches in physical and electronic security measures and service interruptions or connection disruptions.
- 9.3.12** **D** A *data reporting services provider* must promptly provide the forms in **MAR 9 Annexes 5D, 6D, 7D, 8D and 9D** and supporting documentation to the *FCA*:

- (1) at [MRT@fca.org.uk](mailto: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.