

Chapter 4

Commission Implementing Regulation (EU) 2016/824

Article 9 Format for providing the description

(1) Where the relevant operator provides the competent authority with the description of the functioning of the MTF or OTF it operates as set out under this Regulation, the relevant operator shall include clear references in its submission which satisfy the requirements of the template set out in Table 1 of the Annex.

(2) In providing the information required by this Regulation, a relevant operator shall include references to the appropriate provisions of the rules of its MTF or OTF, agreements or contracts with participants or relevant third parties and internal procedures and policies.

(3) A relevant operator shall provide the information required by this Regulation to the competent authority in an electronic format.

(4) When providing the information required by this Regulation, a relevant operator shall:

(a) give a unique reference number to each document it submits;

(b) ensure that the information it submits clearly identifies which specific requirement of this Regulation it refers to and in which document that information is provided by using the unique reference number to identify the document;

(c) ensure that if a requirement of this Regulation does not apply to it, that fact is stated together with an explanation;

(d) submit that information in the format set out in Table 1 of the Annex.

(5) Where the description is provided in the context of an authorisation request, an entity requesting authorisation to provide more than one service at the same time shall submit one application clearly identifying the services to which the information provided applies. When the same document is to be considered as part of several authorisation requests, for the purpose of providing the information in the format set out in Table 1 of the Annex, the same reference number shall be used when submitting the same document for several applications.