**Market Data Processor (MDP) Disconnection Form**

**Legal name of applicant entity**

|  |
| --- |
|        |
| Legal entity identifier |

**Important information you should read before completing this form**

We require all applicant entities to provide details we deem necessary in order to disconnect from the MDP for some or all of the market data types for which the applicant has previously been activated. A form should be completed for each applicant legal entity intending to disconnect from the MDP.

Before completing this form to disconnect from the MDP you may find it helpful to discuss the application with your usual supervisory contact at the FCA.

It is important that you provide accurate and complete information and disclose all relevant information. If you do not, it may increase the time taken to assess your application.

**Terms in this form**

In this form the FCA uses the following terms:

* 'FCA', 'we', 'our' or 'us' refers to the Financial Conduct Authority
* 'Applicant entity' refers to the entity applying for approval to disconnect
* 'You' refers to the person(s) signing the form on behalf of the applicant entity
* ‘DRSP’ refers to Data Reporting Services Provider
* 'ARM' refers to Approved Reporting Mechanism
* ‘APA’ refers to Approved Publication Arrangement
* ‘CTP’ refers to Consolidated Tape Provider
* ‘SI’ refers to Systematic Internaliser
* ‘MO’ refers to Market Operator
* ‘RM’ refers to Regulated Market
* ‘MTF’ refers to Multilateral Trading Facility
* ‘OTF’ refers to Organised Trading Facility
* ‘IF’ refers to Investment Firm
* ‘TV’ refers to Trading Venue

**Filling in the form**

**1** If you are using your computer to complete the pack:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
* save the completed form

**2** If you do not attach the supporting information as indicated by you in section 6 without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application for disconnecting.

**3** If there is not enough space on the forms you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**4** Email the application consisting of:

* the request form for approval to disconnect from the FCA’s MDP;
* any supporting documents; and

to MRT@fca.org.uk

Alternatively, you may post the application form to the FCA at:

The Markets Reporting Team

The Financial Conduct Authority

12 Endeavour Square

Stratford

London E20 1JN

**Contents**

1 About the applicant entity 3

2 Background information 5

3 Data types 6

4 Personnel 12

5 Supplementary information 14

6 Declaration 15

|  |  |
| --- | --- |
| 1 | About the application type and applicant entityInformation needed in order to identify the type of applicant entity wishing to disconnect from the MDP.  |

Please read through the entire section and tick all boxes that apply to you.

1.1 Application Type

Is the applicant seeking to disconnect from the MDP:

[ ]  to stop submitting **all** market data types for **all** submitting entities under the applicant entity

[ ]  for one or more submitting entities (where at least one submitting entity under the applicant entity will continue to connect and submit market data to the MDP)

[ ]  to stop submitting a market data type\*

\* This could be as a result of a change to the asset class being reported by the submitting entity, a Trading Venue using an ARM to submit transaction reports, or a Data Reporting Services Provider that wishes to cancel its authorisation. Further information should be included in section 5.1 to provide the reason for this disconnection type.

Entity Type

1.2 Is the applicant entity a Market Operator (MO) operating a Trading Venue (TV)?

[ ]  No

[ ]  Yes⏵Please specify the type of TV(s) the applicant entity operates

 [ ]  Regulated Market (RM)

 [ ]  Multilateral Trading Facility (MTF)

 [ ]  Organised Trading Facility (OTF)

1.3 Is the applicant entity a MO operating a Data Reporting Services Provider (DRSP)?

[ ]  No

[ ]  Yes⏵Please specify the type of DRSP(s) the applicant entity operates

 [ ]  Approved Reporting Mechanism (ARM)

 [ ]  Approved Publication Arrangement (APA)

 [ ]  Consolidated Tape Provider (CTP)

1.4 Is the applicant entity an Investment Firm (IF) operating a TV?

[ ]  No

[ ]  Yes⏵Please specify the type of TV(s) the applicant entity operates

 [ ]  Multilateral Trading Facility (MTF)

 [ ]  Organised Trading Facility (OTF)

1.5 Is the applicant entity an Investment Firm (IF) with data reporting obligations but not operating a TV?

[ ]  No

[ ]  Yes⏵Please specify details below

 [ ]  Operating a Systematic Internaliser (SI)

 [ ]  Reporting economically equivalent OTC commodity
 derivative positions

 [ ]  Submitting their own transaction reports

1.6 Is the applicant entity an entity/person (irrespective of regulatory status) submitting commodity position reports?

[ ]  No

[ ]  Yes

1.7 Is the applicant entity an IF operating a DRSP?

[ ]  No

[ ]  Yes⏵Please specify the type of DRSP(s) the applicant entity operates

 [ ]  ARM

 [ ]  APA

 [ ]  CTP

1.8 Is the applicant entity an entity other than an IF or MO operating a DRSP?

[ ]  No

[ ]  Yes⏵Please specify the type of DRSP(s) the applicant entity operates

 [ ]  ARM

 [ ]  APA

 [ ]  CTP

1.9 Have you answered ‘yes’ to any of the questions 1.2-1.8?

[ ]  Yes⏵You must complete Section 2

[ ]  No⏵Please contact mrt@fca.org.uk to discuss this application

|  |  |
| --- | --- |
| 2 | Background informationAll applicant entities must complete all questions in this section for their application |

 2.1 Is this disconnection application submitted in conjunction with an FCA Cancellation or Variation of Authorisation application?

[ ]  No

[ ]  Yes ⏵ Give details below

|  |  |
| --- | --- |
| Firm Name |       |
| Firm Reference Number (FRN) |       |
| Case Reference Number |       |

|  |  |
| --- | --- |
| 3 | Data typesThis section should be completed by all applicant entities, as we require information around the market data type(s) the applicant entity is seeking to stop submitting to the MDP. |

 **3.1 For each of the below market data types the applicant entity is seeking to disconnect please provide all relevant information where applicable**

Where entities need to specify MICs, as indicated in the tables below, please provide and clearly annotate whether the MIC is a segment or operating MIC. There must be only one MIC per RM, MTF, OTF, SI, APA and CTP which uniquely identifies that entity. It is possible for an applicant entity to operate more than one RM, MTF or OTF (or a combination of these venue types), and these should all be recorded below or in the additional sheet(s) provided.

**[ ]  Transaction reporting data**⏵Please provide all applicable elements of the applicant entity currently able to submit transaction reports

|  |  |  |
| --- | --- | --- |
| LEI of IF |       |   |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]**  Segment (select as appropriate) |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of ARM |       |   |
| LEI of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**Note:** if operating a TV but no longer submitting transaction reports please indicate in section 5.1 – Supplementary information - whether you will use an ARM to submit transaction reports on behalf of investment firms established in third countries (and who do not execute transactions on your venue through a UK branch), as required by Article 26(5) of MiFIR as onshored.

Alternatively, please indicate if this requirement is not relevant for the venue, e.g. because you have no members which are investment firms established in third countries; or your members which are investment firms established in third countries only execute transactions through a UK branch.

**[ ]  Instrument reference data** ⏵Please provide all applicable elements of the applicant entity currently able to submit instrument reference data

|  |  |  |
| --- | --- | --- |
| MIC of SI |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**[ ]  Double volume cap reports**⏵ Please provide all applicable elements of the applicant entity currently able to submit double volume cap reports

|  |  |  |
| --- | --- | --- |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of CTP |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**[ ]  Transparency reports**⏵ Please provide all applicable elements of the applicant entity currently able to submit transparency reports

|  |  |  |
| --- | --- | --- |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of APA |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of CTP |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**Note**: please indicate in section 5.1 – Supplementary information, whether the transparency file to be disconnected contained equity, non-equity or both categories of data

**[ ]  Position reports (commodity derivatives)** ⏵ Please provide all applicable elements of the applicant entity currently able to submit position reports

|  |  |  |
| --- | --- | --- |
| LEI of IF |       |   |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

If you have more submitting entities for a data type please use the additional sheet below, otherwise continue to section 4

|  |  |
| --- | --- |
| 3 | **Data types (additional sheet)**This section should be completed if an additional sheet is required by the applicant entity, as we require information around the market data type(s) the applicant entity is seeking to stop submitting to the MDP. |

 **3.1 For each of the below market data types the applicant entity is seeking to disconnect please provide all relevant information where applicable**

Where entities need to specify MICs, as indicated in the tables below, please provide and clearly annotate whether the MIC is a segment or operating MIC. An operating MIC should only be provided where a segment MIC is not available. There must be only one MIC per RM, MTF, OTF, SI, APA and CTP which uniquely identifies that entity.

**[ ]  Transaction reporting data**⏵Please provide all applicable elements of the applicant entity currently able to submit transaction reports

|  |  |  |
| --- | --- | --- |
| LEI of IF |       |   |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]**  Segment (select as appropriate) |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of ARM |       |   |
| LEI of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| LEI of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**Note:** if operating a TV but not submitting transaction reports please indicate in section 5.1 – Supplementary information - whether you will use an ARM to submit transaction reports on behalf of investment firms established in third countries (and who do not execute transactions on your venue through a UK branch), as required by Article 26(5) of MiFIR as onshored.

Alternatively, please indicate if this requirement is not relevant for the venue, e.g. because you have no members which are investment firms established in third countries; or your members which are investment firms established in third countries only execute transactions through a UK branch.

**[ ]  Instrument reference data** ⏵Please provide all applicable elements of the applicant entity currently able to submit instrument reference data

|  |  |  |
| --- | --- | --- |
| MIC of SI |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**[ ]  Double volume cap reports**⏵ Please provide all applicable elements of the applicant entity currently able to submit double volume cap reports

|  |  |  |
| --- | --- | --- |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of CTP |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**[ ]  Transparency reports**⏵ Please provide all applicable elements of the applicant entity currently able to submit transparency reports

|  |  |  |
| --- | --- | --- |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of APA |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of CTP |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

**Note**: please indicate in section 5.1 – Supplementary information whether the transparency file to be disconnected contained equity, non-equity or both categories of data

**[ ]  Position reports (commodity derivatives)** ⏵ Please provide all applicable elements of the applicant entity currently able to submit position reports

|  |  |  |
| --- | --- | --- |
| LEI of IF |       |   |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of RM |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of MTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |
| MIC of OTF |       |  **[ ]**  Operating / **[ ]** Segment (select as appropriate) |

If you have more submitting entities for a data type please add additional sheets (print pages 8 and 9) and number accordingly, otherwise continue to section 4.

|  |  |
| --- | --- |
| 4 | PersonnelThis section should be completed by all applicant entities as we require information on key points of contact. |

Contact details

 **4.1 IT Manager contact details**

This will be the primary contact for IT related enquiries

|  |  |
| --- | --- |
| Title |       |
| First name(s) |       |
| Surname |       |
| Job title |       |
| Business address |       |
|  |
|  |
|  |
| Postcode |       |
| Phone number (including area code) |       |
| Mobile number (optional) |       |
| Email address |       |

**4.2 Business Liaison contact details**

This individual will be the primary contact held on FCA records for any future correspondence.

If the technical contact for each data type is different please specify in the box provided below.

|  |  |
| --- | --- |
| Data Type |       |
| Title |       |
| First name(s) |       |
| Surname |       |
| Job title |       |
| Phone number (including area code) |       |
| Mobile number (optional) |       |
| Email address |       |

|  |  |
| --- | --- |
| 5 | **Supplementary information**This section should be used for detailing any supplementary information. |

 **5.1 Please include any other information that the applicant entity considers to be relevant to this application.**

|  |
| --- |
|       |

 **5.2 Please list any other documents you have provided**

|  |
| --- |
|       |
|       |
|       |
|       |
|       |
|       |

|  |  |
| --- | --- |
| 6 | DeclarationThis section should be completed by all applicant entities |

 Warning

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under sections 398 and 400 of the Financial Services and Markets Act 2000, Paragraph 16 of Schedule 1 to the Markets in Financial Instruments Regulations 2017 and Regulation 29 of the Data Reporting Services Regulations 2017, as appropriate. SUP 15.6.1R and SUP 15.6.4R require an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.

If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed.

You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

Data Protection

For the purposes of complying with the Data Protection Act 2018 and the General Data Protection Regulation (EU 2016/679), please note that any personal information provided to us may be used to discharge any of our functions and may be disclosed to third parties for those purposes or any other lawful purpose.

Declaration

In signing the declaration below I confirm that:

* I am authorised to make this disconnection request on behalf of the applicant named on the front of this form.
* I confirm the information in this application is accurate and complete to the best of my knowledge and belief.
* I am aware that it is an offence to knowingly or recklessly give the FCA information which is false or misleading in a material particular.
* I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
* I will notify the FCA immediately if there is a significant change to the information given in the form.

|  |  |
| --- | --- |
| **Date** |       |
| **Name of signatory[[1]](#footnote-1)** |       |
| **Position[[2]](#footnote-2) of signatory** |       |
| **Signature** |  |

1. The signatory must be a suitable person of appropriate seniority at the firm. [↑](#footnote-ref-1)
2. eg, Director, Sole Trader, Compliance Officer or in the case of DRSPs a member of the management body. [↑](#footnote-ref-2)