

**MiFID Regulation 24(3) and 24 (12)(a) – Notification Form**

Notification Form for investment firms providing algorithmic trading and providing direct electronic access under the European Union (Markets in Financial Instruments) Regulations 2017 (S.I. No. 375 of 2017)

**2017**

## NOTES ON COMPLETION

1. **Please read the European Union (Markets in Financial Instruments) Regulations 2017 (S.I No. 375 of 2017) (“MiFID Regulations”), when completing this Notification Form.**
2. This notification form must be completed by the investment firm (the “Entity”) for the purposes of notifying the Central Bank of algorithmic trading activity under Regulation 24(3) of the MiFID Regulations or the provision of direct electronic access to a trading venue under Regulation 24(12)(a).
3. All notification forms must be **typed**.
4. If insufficient space has been provided for a comprehensive response, please provide that information on a separate sheet/document and refer to it in the space provided for the answer. Please ensure that any separate sheets/documents are clearly marked with the name of the Entity and reference the appropriate question.
5. Further information or clarification may be requested by the Central Bank from the Entity (having regard to the replies furnished) as provided for under the MiFID Regulations.
6. The notification form to be submitted to the entity’s supervision team in the Central Bank.
7. The Entity must inform the Central Bank if there is any change in its provision of direct electronic access or its algorithmic trading activity.

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| NOTIFICATION FORM FOR REGULATION 24(3) and 24(12)(a) of MiFID Regulations | | | | | | | | | | | | | | | | | | |
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| Reference Number[[1]](#footnote-1): | | | | | | | | | | | | | | | |  | | |
| Date of application: | | | | | | | | | | | | | | | |  | | |
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| **FROM:** | | | | | | | | | | | | | | | | | | |
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| Name of the Entity: | | | | | |  | | | | | | | | | | | | |
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| Registered  Address: | | | | | |  | | | | | | | | | | | | |
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| Legal entity identifier: | | | | | | | | | | | | | | | | | | |
| Contact details of the designated contact person in the Entity: | | | | | | | | | | | | | | | | | | |
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| Name: | | | | | |  | | | | | | | | | | | | |
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| Telephone: | | | | | |  | | | | | | | | | | | | |
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| Email: | | | | | |  | | | | | | | | | | | | |
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| **Please confirm the activities which are undertaken by the Entity**  **Do you engage in algorithmic trading?** | | | | | | | | | | | | | | | | | | |
| Yes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| No |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Which trading venue(s) do you engage in algorithmic trading on?**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Do you provide direct electronic access to a trading venue(s)?** | | | | | | | | | | | | | | | | | | |
| **Yes**  **No**  **Which trading venue(s) do you provide direct electronic access to?**  **Declaration** | | | | | | | | | | | | | | | | | | |
| The Entity hereby confirms that the information in this form is accurate and complete to the best of its knowledge and belief. | | | | | | | | | | | | | | | | | | |
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| **Date:** | |  | | | | | | |  | | |  | | | | | | |
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| **Signed:** | |  | | | | | | | **Position:** | | |  | | | | | | |
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| For and on behalf of:  (Please print name of Entity) | | | | | | | | | | | | | | | | | | |
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| ***NOTE: Provisions in this document should not be deleted nor amended in any manner. It is an offence Under Regulation 125 of the European Union (Markets in Financial Instruments) Regulations 2017, it is an offence to knowingly or recklessly provide information in a notification that is false or misleading in a material particular . The Central Bank of Ireland reserve the right to review and assess the assertions made by the Entity.*** | | | | | | | | | | | | | | | | | | |
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***“Information provided in this form must be accurate and complete. If information provided in this form is false or misleading, then the Entity and certain persons concerned with its management may be in breach of legislative requirements and subject to enforcement action or criminal prosecution”.***

1. Central Bank of Ireland user input only. [↑](#footnote-ref-1)