MiFID Regulation 4(1)(k) Exemption – Notification Form

Annual Notification Form for exemption under the European Union (Markets in Financial Instruments) Regulations 2017

(S.I. No. 375 of 2017)

2019

## NOTES ON COMPLETION

1. **Please read the European Union (Markets in Financial Instruments) Regulations 2017 (S.I No. 375 of 2017) (“MiFID Regulations”) and Commission Delegated Regulation (EU) 2017/592 of 1 December 2016 when completing this Notification Form.**
2. This notification form must be completed by the entity (the “Entity”) intending to make use of the exemption set out in Regulation 4(1)(k) of the MIFID Regulations.
3. All notification forms must be **typed**.
4. If insufficient space has been provided for a reply, 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 (having regard to the replies furnished).
6. The Entity must submit its notification form to the Central Bank via Investmentfirmauthorisations@centralbank.ie

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| **ANNUAL NOTIFICATION FORM FOR EXEMPTION UNDER REGULATION 4(1)(k) of MIFID** |
|  |  |
| Reference Number: |  |
| Date: |  |
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| **FROM:** |
|  |
| Name of the Entity: |  |
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| Address: |  |
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| Contact details of the designated contact person |
|  |  |
| Name: |  |
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| Telephone: |  |
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| Email: |  |
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| **TO:** |
|  |
| Member State: |  |
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| Competent Authority: |  |
|  |  |
| Address: |  |
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| This notification is to inform the Central Bank of Ireland (the “Central Bank”) that ***[Name of the entity]*** (the “Entity”) intends to make use of the exemption under Regulation 4(1)(k) of the MIFID Regulations for the year ending ***[Insert the financial year end to which this notification relates]***. |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| The Entity has obtained legal advice supporting their use of the exemption under **Regulation 4(1)(k)** of the MIFID Regulations. |
|  Yes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  No |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| **[Insert a () beside (i) and (ii) as appropriate]** |
| The Entity is making use of the exemption for the following activities: |
|  | 1. dealing on own account, including market makers, in commodity derivatives or emission allowances or derivatives thereof, excluding persons who deal on own account when executing client orders; or
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|  |  |  |  |
|  | 1. providing investment services (other than dealing on own account) in commodity derivatives or emission allowances or derivatives thereof to the customers or suppliers of their main business.
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| **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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| **Signed:** |  | **Position:** |  |
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| For and on behalf of:(Please print name of Entity) |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***NOTE: Provisions in this document should not be deleted nor amended in any manner. It is an offence under the European Union (Markets in Financial Instruments) Regulations 2017 to knowingly or recklessly provide false or misleading information or make false or misleading statements in relation to an application for authorisation.****The Central Bank may process personal data provided by you in order to fulfil its statutory functions or to facilitate its business operations. Any personal data will be processed in accordance with the requirements of data protection legislation. Any queries concerning the processing of personal data by the Central Bank may be directed to* *dataprotection@centralbank.ie**. A copy of the Central Bank’s Data Protection Notice is available at* [www.centralbank.ie/fns/privacy-statement](http://www.centralbank.ie/fns/privacy-statement)*.* |



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