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Additional Information

Level 1 Regulation

Markets in Financial Instruments Regulation (MiFIR) Regulation (EU) No 600/2014- MDP

Topic

ESMA70-1861941480-56 Questions and Answers on MiFIR reporting

Subject Matter

FIRDS fields 8 to 11

Question

How should a trading venue or SI populate fields 8 to 11 in reports under Art. 4 MAR and Art. 27 MiFIR?

ESMA Answer

26-09-2018

Original language

[ESMA 70-1861941480-56 MiFIR data reporting Q&A, Q&A 21.1]

A trading venue or SI should populate fields 8 to 11 in reports under Art. 4 MAR and Art. 27 MiFIR as shown in the scenarios described below.

Field #	Field name	Content to be reported	Case 1 Admission to trading (only on RM)	Case 2 Admission to trading (only on RM)	Case 3 Admission to trading (only on RM)	Case 4 Admission to trading (only on RM)	Case 5 Admission to trading (only on RM)	Case 6 Admission to trading (only on RM)	Case 7 traded (MTF and OTF)	Case 8 traded (MTF and OTF)
			In case the request was sent by a third party. The issuer has approved admission to trading on this trading venue.	In case the request was sent by a third party. The issuer has not approved admission to trading on this trading venue.	In case the issuer has sent the request for admission to trading to the trading venue.	In case of derivative trading venues, because the trading venue is the issuer.	The trading venue decides to admit or there is an admission by law. No request by issuer or third party, but the issuer has approved.	The trading venue decides to admit. No request by issuer or third party, and the issuer has not approved.	The issuer has requested or approved the trading in its financial instruments on this trading venue.	The issuer has not approved the trading in its financial instruments on this trading venue.
8	Request for admission to trading by issuer	Whether the issuer of the financial instrument has requested or approved the trading or admission to trading of its financial instrument on a trading venue.	TRUE	FALSE	TRUE	FALSE	TRUE	FALSE	TRUE	FALSE
9	Date of approval of the admission to trading	Date and time the issuer has approved admission to trading or trading in its financial instruments on a trading venue.	Date-Time (of the issuer approval)	left blank	Date-Time (of the issuer approval)	left blank	Date-Time (of the issuer approval)	left blank	Date-Time (of the issuer approval)	left blank

10	Date of request for admission to trading	Date and time of the request for admission to trading on the trading venue.	Date-Time (of the third party request)	Date-Time (of the third party request)	Date-Time (of the issuer request)	left blank	left blank	left blank	left blank	left blank
11	Date of admission to trading or date of first trade	Date and time of the admission to trading on the trading venue or the date and time when the instrument was first traded or an order or quote was first received by the trading venue.	Date-Time (of the admission)	Date-Time (of the admission)	Date-Time (of the admission)	Date-Time (of the admission)	Date-Time (of the admission)	Date-Time (of the admission)	Date-Time (of first trading)	Date-Time (of first trading)

Note: if the issuer has requested the admission to trading, this is taken to mean that the issuer approved the trading on that trading venue at the time of the request. Furthermore, if the situation alters because the issuer has changed its mind after making the request, field 9 should be updated by being left blank.