**Complaint Form**

Should you need to submit a complaint about an ESMA supervised data reporting services provider, which might not be fulfilling its responsibilities under the MiFIR Regulation[[1]](#footnote-1), please fill in this form.

We can best investigate your complaint if we receive detailed and complete information.

The completed form should be sent to Notifications-DRSP@esma.europa.eu . In the email subject line, you should include “Complaint about Data Reporting Services Provider”.

If you cannot send this complaint form by email, please send it in paper format to the following address:

European Securities and Markets Authority

Conduct Supervision and Convergence Department, Market Transparency Infrastructure

201-203 rue de Bercy

CS 80910

75589 Paris Cedex 12 - France

Upon the reception of your complaint, we will send you an acknowledgement of receipt with a number assigned to your complaint. Please keep this reference number for further contacts with ESMA. ESMA may contact you if additional information is needed.

Note that all information that is acquired by ESMA in this complaint will in principle be considered confidential, except where such disclosure is necessary for legal proceedings. ESMA is also entitled to exchange information with certain other public authorities.

The information provided by you might be added to ESMA’s file and at a later date access to this file may be given to those parties entitled to such access, subject to the legitimate interest of other persons in the protection of their business secrets. The right of access to the file does not extend to confidential information affecting third parties.

For this purpose, if you consider any information in your complaint to be confidential or to constitute business secrets, please mark it clearly in your complaint form.

Any personal data processed in this complaint form will be handled in compliance with the rules on data protection in Regulation (EU) 2018/1725. The processing of the personal data is performed on the basis of Article 5.1. (a) of Regulation (EU) 2018/1725, and ESMA is the data controller. For any information on the processing of your personal data please contact the DPO (dpo@esma.europa.eu)

**Name of the organisation on behalf of which you are submitting this complaint:**

**Address of the organisation on behalf of which you are submitting this complaint:**

**The main area in which your organisation works:**

[ ]  Asset management

[ ]  Audit/Legal/Consultant

[ ]  Authority/Enforcement

[ ]  Banking

[ ]  CCP

[ ]  Industry

[ ]  Insurance/Pension

[ ]  Regulated Markets/Exchange/Trading Systems

[ ]  Other Market infrastructure

[ ]  Other: (*please specify*) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Your Name, position and contact details in the organisation:[[2]](#footnote-2)**

Name and title:

Tel:

E-mail:

**Please indicate if you wish to keep confidential the identity of the organisation on behalf of which you are submitting the complaint[[3]](#footnote-3)**

[ ]  Do not disclose the identity of the organisation which is submitting the complaint to the relevant data reporting services provider

**About which data reporting services provider are you complaining?[[4]](#footnote-4)**

[ ]  AQ Metrics Limited

[ ]  Bloomberg Data Reporting Services B.V.

[ ]  CBOE Europe B.V.

[ ]  Krajowy Depozyt Papierów Wartosciowych S.A. (KDPW)

[ ]  LSEG Regulatory Reporting B.V

[ ]  MarketAxess Post-Trade B.V.

[ ]  Nasdaq Stockholm AB

[ ]  Tradeweb EU B.V.

**Subject matter**

[ ]  Access to data reporting services provider services for mandatory reporting purposes

[ ]  Potential discrimination

[ ]  Difficulties in submitting/modifying reports

[ ]  Inaccurate record-keeping of information reported

[ ]  Confidentiality of data

[ ]  Availability of public data

[ ]  Timeliness of public data

[ ]  Completeness and consistency of public data

[ ]  Pricing issues

[ ]  Ancillary services

[ ]  IT Issues

[ ]  Other: *(please specify)*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**The content of your complaint:**

**What negative impact the situation described in your complaint has?**

**Please indicate whether you have already informed the data reporting services provider of your complaint and any actions, if any, undertaken by the data reporting services provider.**

**You can attach documents to your complaint, such as contracts, letters or other to help us better understand your complaint.**[[5]](#footnote-5) **Please list the documents attached and mark the ones that you wish to keep confidential.**

|  |  |  |
| --- | --- | --- |
| **Document No.** | **Document title** | **Mark if needed to be treated as confidential** |
| **1** |  | [ ]  |
| **2** |  | [ ]  |
| **3** |  | [ ]  |
| **4** |  | [ ]  |

*(please add more lines to the table if needed)*

**Complainant signature**

[ ]  By ticking in this box, I submit my complaint for ESMA’s consideration and I confirm that all the information that I have provided is true and accurate to the best of my knowledge.

1. Regulation (EU) No 600/2014 of the European Parliament and the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (OJ L 173, 12.6.2014, p. 84). [↑](#footnote-ref-1)
2. Please note that your name and contact details will only be used by ESMA staff to communicate with you regarding your complaint. [↑](#footnote-ref-2)
3. If you do not require a confidential treatment, the identity of the organisation might be disclosed by ESMA to the relevant data reporting services provider. [↑](#footnote-ref-3)
4. Please note that if your complaint involves more than one data reporting services provider, you will need to submit a separate complaint for each data reporting services provider involved and will receive separate case numbers for each complaint. [↑](#footnote-ref-4)
5. You should specify if you wish to keep the files attached confidential. If you do not require a confidential treatment, this information might be disclosed by ESMA to the relevant data reporting services provider. [↑](#footnote-ref-5)