

Circular 21/120 MiFIR: 2021 On-line IIA Member Investment Firm Status Attestation

Category
Regulations

Attachments
None

The purpose of this Circular is to inform Members that they are required to complete the annual ICE Identifier Admin (IIA) attestation to the Exchange by Thursday 30 September 2021. Where a Member has already attested in 2021, they do not need to attest again at this time but where a Member last attested in 2020 the Exchange does now require attestation.

MiFIR requires that where a transaction is executed on the Exchange by a Member that is not itself subject to the MiFIR transaction reporting provisions, the Exchange must report the details of the transaction to the FCA¹.

To ensure accuracy over the information in question, the Exchange requires its Members to securely log in to IIA and attest to the Member's current transaction reporting status under MiFIR and the current LEI of the Member. Instructions on how to complete the IIA attestation can be found on <https://www.theice.com/futures-europe/mifidii>.

Failure to complete the IIA attestation by the Thursday 30 September 2021 deadline will be regarded as a breach of Exchange Rule **C.4** and may result in disciplinary proceedings in accordance with Exchange Rule **E.3**.

Members should contact the Regulatory Reporting team at the following email address: Compliance-Europe-MiFIDReporting@TheIce.com should they not already have attestation access.

Given the significance of this information, the Exchange expects the attestations to be performed by staff with sufficient seniority and expertise in regulatory compliance.

Please ensure that the appropriate members of staff within your organisation are advised of the content of this Circular.

Signed:



Laurence Walton
Head of Regulation and Compliance

For more information, please contact:

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¹MiFIR - Article 26.5 "The operator of a trading venue shall report details of transactions in financial instruments traded on its platform which are executed through its systems by a firm which is not subject to this Regulation in accordance with paragraphs 1 and 3."

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