

**MiFIR incident report**

Article 15(2) of the Commission Delegated Regulation (EU) 2017/590 states that where the investment firm becomes aware of any error or omission within a transaction report submitted to a competent authority, it shall promptly notify the relevant competent authority of this fact.

Furthermore, according to MiFIR article 26.7 investment firms are required to correct the information in case of errors or omissions in the transaction reports and submit a corrected report to the competent authority.

To ensure the AFM is provided with all the necessary information regarding the incident(s) that have occurred, we would like to receive an incident report with the following details:

**1. Details of Errors or Omissions**

- Details of the issue

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- Root cause

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- Date the issue was detected

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- Period for which the issue occurred

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- Exact total number of transactions impacted

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**2. Remediation and Back-reporting**

- Detail actions taken and still outstanding

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- Timeline remediation
- Expected date (data) of back-reporting

3. Control framework

- What plans are there to improve on-going monitoring and governance to ensure accurate and complete TransactionReporting?

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Name of investment firm

LEI<sup>1</sup>

Completed by

Department/function

Date

Signature

Please fill out this incident report completely and accurately (optionally with supporting documentation) and return by e-mail to [mb\\_trs@afm.nl](mailto:mb_trs@afm.nl) or using Cryptshare via <https://filetransfer.afm.nl> <sup>2</sup>

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<sup>1</sup> The Legal Entity Identifier (LEI) should be a 20 character alphanumeric code. Please visit [GLEIF - LEI \(gleif.org\)](http://GLEIF - LEI (gleif.org)) for more information.

<sup>2</sup> For more information about Cryptshare please visit [Secure file exchange \(afm.nl\)](http://Secure file exchange (afm.nl))