

## 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 a separate incident report for each incident with the below details. Investment Firms are requested to use the most recent version of the incident report and to provide an updated incident report when information to the below details significantly change and when all actions as a result of the incident have been completed.

The most recent version of the MiFIR incident report can be found on [Transactierapportage \(afm.nl\)](https://transactierapportage.afm.nl).

### 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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- Begin and end date for which the issue occurred

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- Exact total number of transactions impacted

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### 2. Remediation and Back-reporting

- **Remediation**

Detail actions taken and still outstanding

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- Remediation timeline  
Please list the exact date of the fix

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- **Back-reporting**  
Detail actions taken and still outstanding

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- Back-reporting timeline  
Please list the exact date(s) of back-reporting with corresponding transactions per date

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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

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LEI<sup>1</sup>

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Completed by

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Internal reference number <sup>2</sup>

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Department/function

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Date

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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>3</sup>

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

<sup>2</sup> Please assign your own reference number or code. When providing an update please quote the reference number on the initial incident report.

<sup>3</sup> For more information about Cryptshare please visit [Secure file exchange \(afm.nl\)](https://securefileexchange.afm.nl)