



# Transaction Reporting under MiFIR

## A Practical Guide

10.00am to 4.00pm | 11 June 2019 | City of London

*Attending this practical half day seminar will enable you to:*

- Make sure you are aware of the **scope and impact** of the new MiFIR Transaction reporting requirements
- Know **what the changes mean for transaction reporting in your firm**
- Examine MiFIR regulation requirements including **governance framework and controls, reporting data quality assurance and testing guidelines**
- Highlight the key challenges facing firms and consider how to deal with **special scenarios and grey areas**
- Identify the responsibilities of firms when assigning tasks to **third party providers**.

**CPD**  
3 hours

# CTP.

For more information

**Email:**

[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)

**Visit:**

[www.ctp.uk.com/tr](http://www.ctp.uk.com/tr)

**Tel:** 0330 303 9779

## Course Outline & Objectives

Markets in Financial Instruments Regulation (MiFIR) Transaction Reporting is a key priority for the European Securities Markets Authority (ESMA) and the National Competent Authorities (NCAs) including the Financial Conduct Authority (FCA). This half-day workshop examines the importance of transaction reporting and main challenges the industry faces in implementing the new reporting requirements.

The Markets in Financial Instruments Regulation and Directive, commonly known as MiFID II, seeks to ensure a more robust EU framework of regulation to address a more complex market characterised by increasing diversity in financial instruments and new methods of trading. The legislation aims to make financial markets more efficient, resilient and transparent, and to strengthen the amount of protection for investors. The new transaction reporting provisions are covered by the regulation, which means that these are binding and will take direct effect in all Member State's from the 3rd January 2017.

## Who will benefit?

This event will be of value to those involved in the day to day operation of transaction reporting, as well as those designing or specifying policies, processes, and IT systems to support transaction reporting arrangements. This will include:

Compliance	Heads of Business
Business Analysts	System Developers
Front Office	Operations
Internal Audit	CF29s
Senior Management	

## Training Approach

The tutor will use a blend of presentational methods in order to assist in a delegate's understanding of the workshop content including, where applicable and possible, group exercises, scenarios and case studies.

## Course Leader

### Vivienne Bannigan

Vivienne is a regulatory risk professional with extensive experience in Wholesale Capital Markets in both the public and private banking sector in the UK and global markets. She advises senior management on regulatory policy changes, facilitating the designing of business strategy and frameworks to manage the regulatory and operational risk. Vivienne has extensive experience of CASS and Transaction Reporting, having had a seat on all sides of the table as a regulator, a consultant, a Operations Compliance Director and most recently being the BBA's lead policy director members response to MiFID II. Vivienne is passionate about sharing practical insights through education on how to consider managing regulatory risk. Vivienne has a BA jt Hons in Economics and Finance as well as a M.Econ.Sc in European Economics and Public Affairs. During her career she has gained professional qualifications in programme management.

*"An in depth course which although short in time was very informative"*

Capita

## How to book

The course fee is **£545 per person + VAT**, including documentation and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: **[www.ctp.uk.com/tr](http://www.ctp.uk.com/tr)**

Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)**

Telephone: **0330 303 9779**

Post: **Complete and return booking form over page.**

*When booking please quote reference*

**TRWEB**

**THIS PROGRAMME CAN ALSO BE ADAPTED AND DELIVERED IN-HOUSE.**

For more information please visit: **[www.ctp.uk.com/tr1710](http://www.ctp.uk.com/tr1710)** Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)** Tel: **0330 303 9779**

# Course Programme

Session	Content
Introduction To MiFIR Transaction Reporting	<ul style="list-style-type: none"> <li>■ The 'What' and 'Why' of Transaction Reporting</li> <li>■ The Importance of MiFIR Transaction Reporting in maintaining Integrity across the European Union</li> <li>■ An examination of key challenges including governance, change and the knowledge gap.</li> </ul>
MiFIR Regulatory Change	<ul style="list-style-type: none"> <li>■ Examine the new reporting obligations for firms</li> <li>■ Define what a Reportable Product under Article 50</li> <li>■ Field-by-field guidance – what is changing</li> <li>■ How to navigate the 'grey areas' including client identifier and short-selling flag.</li> </ul>
Firm Planning and Implementation Strategy	<ul style="list-style-type: none"> <li>■ The Principles of Change</li> <li>■ Regulatory Expectations meet practical implementation for firms</li> <li>■ Establishing an operational control framework for MiFIR Transaction Reporting.</li> </ul>



# COURSE BOOKING FORM

Please post, fax or email completed form to addresses listed below.

**CTP.**

Thank you for registering to a CTP event. Once the completed booking form is received, your place/s will be reserved and you will receive confirmation by email. Joining instructions will be sent 2 weeks before the event date. Please note all **delegate fees are payable prior to the course**.

*There is a 10% discount when registering 3 or more attendees. Please complete another form for additional delegates.*

<b>Course Title</b>	<b>TRANSACTION REPORTING UNDER MIFIR</b>
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<b>Date</b>	<b>11 June 2019</b>	<b>Event code</b>	<b>TRWEB</b>
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<b>Delegate 1</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Delegate 2</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Delegate 3</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Company Name</b>	
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<b>Address</b>		<b>Invoice Address (if different)</b>	
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<b>Post Code</b>		<b>Post Code</b>	
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<b>Booking Contact (if different)</b>	
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<b>Tel</b>		<b>NB:</b>	
<b>Email</b>		<b>Purchase Order No / Vendor No</b>	

<b>Payment details</b>	I authorise you to debit my account with the amount of £	inc VAT
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I wish to pay by	<input type="checkbox"/> Mastercard	<input type="checkbox"/> Visa	Please invoice <input type="checkbox"/>																				
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**Cancellations, Substitutions and Transfers.** The following cancellation charges apply: 30+ days before the course date = no charge; 15-29 days before the course date = 50% of the course fee; 0-14 days before the course date = 100% of the course fee. If the registered delegate cannot attend, we shall be pleased to welcome a substitute at no extra charge – please advise us beforehand. If a delegate fails to attend without prior notification, the course fee is payable in full. Please note CTP is unable to accept any liability for non-attendance caused by severe weather or travel disruption. Requests to transfer to the next available course date may be accepted, subject to availability. The option to transfer is only available if received prior to the original course date, once the original course fee has been paid in full and to a course taking place within 12 months. Transfers made 1-30 days prior to the course date, will be charged at 25% of the course fee. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com

CTP is a trading style of Corporate Training Partnerships Ltd, registered in England and Wales (no. 04440798)

Unit G4, Barratt House, Kingsthorpe Road, Northampton, NN2 6EZ

Tel: 0330 303 9779 | Email: emmabond@ctp.uk.com | www.ctp.uk.com