
Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

Commission Implementing Regulation (EU) 2017/393 of 11 November 2016 laying down implementing technical standards with regard to the templates and procedures for the reporting and transmission of information on internalised settlements in accordance with Regulation (EU) No 909/2014 of the European Parliament and of the Council (Text with EEA relevance)

COMMISSION IMPLEMENTING REGULATION (EU) 2017/393

of 11 November 2016

laying down implementing technical standards with regard to the templates and procedures for the reporting and transmission of information on internalised settlements in accordance with Regulation (EU) No 909/2014 of the European Parliament and of the Council

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU) No 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012⁽¹⁾, and in particular the third subparagraph of Article 9(3) thereof,

Whereas:

- (1) In accordance with Regulation (EU) No 909/2014 settlement internalisers and competent authorities are to report and transmit information on internalised settlements using standard forms, templates and procedures. Standard forms, templates and procedures also need to be used when competent authorities inform the European Securities and Markets Authority (ESMA) on any potential risk resulting from the settlement activity.
- (2) In order to facilitate the implementation of the procedures and processes related to the reporting requirements on internalised settlements across market participants and to minimise the associated costs, the information should be provided using codes specified in standards published by the International Organisation for Standardisation where such codes are available.
- (3) In order to facilitate the processing of large volumes of data in a consistent and efficient manner, reports should be transmitted in a machine readable format.
- (4) The reporting requirements set out in this Regulation may require significant IT system changes, market testing and adjustments to legal arrangements of the institutions concerned. It is therefore necessary to give those institutions sufficient time to prepare for application of those requirements.

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- (5) ~~This Regulation is based on the draft implementing technical standards submitted by ESMA to the Commission.~~
- (6) ESMA has conducted an open public consultation on the draft implementing technical standards on which this Regulation is based, analysed the potential related costs and benefits and requested the opinion of the Securities and Markets Stakeholder Group established in accordance with Article 37 of Regulation (EU) No 1095/2010 of the European Parliament and of the Council⁽²⁾,

HAS ADOPTED THIS REGULATION:

Modifications etc. (not altering text)

- C1** The “appropriate regulator” has power to make such provision as they consider appropriate by means of an instrument in writing to prevent, remedy or mitigate any failure of the provisions of this Regulation to operate effectively or any other deficiency arising from the withdrawal of the United Kingdom from the EU, see The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), [regs. 2, 3, Sch. Pt. 3](#) (with saving on IP completion day by S.I. 2019/680, [regs. 1\(2\), 11](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#))

Article 1

1 A settlement internaliser shall use the template set out in Annex I to this Regulation when it reports to the competent authority in accordance with the first subparagraph of Article 9(1) of Regulation (EU) No 909/2014. That report shall be submitted within 10 working days from the end of each quarter of a calendar year.

The first report under the first subparagraph shall be submitted within 10 working days from the end of the first quarter following 10 March 2019.

2 The competent authority shall use the template set out in Annex I to this Regulation when it transmits to European Securities and Markets Authority (ESMA) the information received under the first subparagraph of Article 9(1) of Regulation (EU) No 909/2014. That information shall be transmitted within five working days from the date of receipt of each report referred to in paragraph 1 of this Article.

3 The template set out in Annex I shall be completed in accordance with the instructions set out in Annex II.

4 The competent authority shall use the template set out in Annex III when it informs ESMA of any potential risk resulting from internalised settlement activity. Information on any potential risk resulting from internalised settlement activity shall be submitted within 30 working days from the end of each quarter of a calendar year. The competent authority shall complete that template in accordance with the instructions set out in Annex IV.

5 The information referred to in paragraphs 1, 2 and 4 shall be provided in a machine readable format.

Article 2

This Regulation shall enter into force on 10 March 2019.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

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Done at Brussels, 11 November 2016.

For the Commission

The President

Jean-Claude JUNCKER

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Template for reporting and transmission of information on internalised settlement

Internalised Settlement									
Settlement Internaliser Information									
		C0010							
Country code	R0010								
Reporting timestamp	R0020								
Reporting period	R0030								
LEI	R0040								
Name of person responsible	R0050								
Function of person responsible	R0060								
Phone number	R0070								
Email address	R0080								
		Aggregate					Rate		
		Settled		Failed		Total		Failed	
		Volume	Value (EUR)	Volume	Value (EUR)	Volume	Value (EUR)	Volume %	
		C0020	C0030	C0040	C0050	C0060	C0070	C0080	
Overall total	R0090								
Financial instruments									
Transfer of securities referred to in point (a) of Article 4(1) (44) of Directive	R0100								

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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EU of the European Parliament and of the Council ^a									
Sovereign debt referred to in Article 4(1) (61) of Directive 2014/65/EU	R0110								
Transferable securities referred to in point (b) of Article 4(1) (44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1) (61) of Directive 2014/65/EU	R0120								
Transferable securities referred to in point (c) of Article 4(1) (44) of Directive	R0130								

^a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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2014/65/Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

EU									
Exchange traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	R0140								
Units in collective investment undertakings, other than exchange-traded funds	R0150								
Money market instruments other than sovereign debt referred to in Article 4(1) (61) of Directive 2014/65/EU	R0160								
Emission allowances	R0170								
Other financial instruments	R0180								
Type of transactions									
Purchase or	R0190								

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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sale of Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

securities								
Collateral management operations	R0200							
Securities lending and securities borrowing	R0210							
Repurchase transactions	R0220							
Other securities transactions	R0230							
Type of client								
Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU	R0240							
Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	R0250							
Cash Transfers								
Total Cash Transfers	R0260							

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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Each Issuer CSD Information instruments can be found on their website/s. (See end of Document for details)

		C0100							
Issuer CSD identifier	R0270	Aggregate						Rate	
		Settled		Failed		Total Settled Failed		Failed	
		Volume	Value (EUR)	Volume	Value (EUR)	Volume	Value (EUR)	Volume	Value %
		C0110	C0120	C0130	C0140	C0150	C0160	C0170	C0180
Overall total	R0290								
Financial instruments									
Transferable securities referred to in point (a) of Article 4(1) (44) of Directive 2014/65/EU	R0300								
Sovereign debt referred to in Article 4(1) (61) of Directive 2014/65/EU	R0310								
Transferable securities referred to in point (b) of Article 4(1) (44) of	R0320								

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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Directive 2014/65/ EU other than sovereign debt referred to in Article 4(1) (61) of Directive 2014/65/ EU								
Transferable securities referred to in point (c) of Article 4(1) (44) of Directive 2014/65/ EU	R0330							
Exchange traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/ EU	R0340							
Units in collective investment undertakings other than ETFs	R0350							
Money market instruments other than	R0360							

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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debt referred to in Article 4(1) (61) of Directive 2014/65/EU									
Emission allowances	R0370								
Other financial instruments	R0380								
Type of transactions									
Purchase or sale of securities	R0390								
Collateral management operations	R0400								
Securities lending and securities borrowing	R0410								
Repurchase transactions	R0420								
Other securities transactions	R0430								
Type of client									
Professional clients as defined in point (10) of Article 4(1) of Directive	R0440								

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

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EU									
Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	R0450								
Cash Transfers									
Total Cash Transfers	R0460								

a Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

ANNEX II

Instructions for completing the template for reporting and transmission of information on internalised settlement

The 'Cell Reference' column of the table below identifies the items to be reported by identifying the columns and lines as showed in the template in Annex I. Information in columns C0100-C0180, as well as in Rows R0270-R0460 shall be reported for each issuer CSD.

Information in columns C0020, C0040, C0060, C0110, C0130 and C0150 for aggregated volumes shall be reported as a whole number expressed using up to 20 numerical characters without decimal places.

Information in columns C0030, C0050, C0070, C0120, C0140 and C0160 for aggregate values shall be reported as a value expressed using up to 20 numerical characters including decimals. The decimal mark is not counted as a numerical character and at least one character before and two characters after the decimal mark shall be populated. A full stop shall be used as the decimal mark.

Information in columns C0080, C0090, C00170 and C00180 for rates shall be reported as a percentage value up to two decimal places.

Where no activity needs to be reported, information in columns C0020-C0090 and C0110-C0180 shall be completed with a zero value.

No.	Cell Reference	Item	Instruction
1	C0010, R0010	Country code	Identify the ISO 3166 2 character code

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			establishment of the settlement internaliser.
2	C0010, R0020	Reporting timestamp	For reporting from the settlement internaliser to the competent authority, identify the ISO 8601 in UTC time format (YYYY-MM-DDThh:mm:ssZ) code of the date when the report from the settlement internaliser to the competent authority is made. For reporting from the competent authority to ESMA, identify the ISO 8601 in UTC time format (YYYY-MM-DDThh:mm:ssZ) code of the date when the report from the competent authority to ESMA is made.
3	C0010, R0030	Reporting period	Identify the ISO 8601 (YYYY-MM-DD) code of the date identifying the last day of the reporting period.
4	C0010, R0040	Settlement internaliser identifier	Insert identification code of the settlement internaliser, using a Legal Entity Identifier (LEI).
5	C0010, R0050	Name of person responsible	For reporting from the settlement internaliser to the competent authority, indicate the name of the person responsible for the report at the settlement internaliser. For reporting from the competent

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			Authority to ESMA, the name of the liaison at the competent authority.
6	C0010, R0060	Function of person responsible	For reporting from the settlement internaliser to the competent authority, the function of the person responsible for the report at the settlement internaliser. For reporting from the competent authority to ESMA, the function of the liaison at the competent authority.
7	C0010, R0070	Phone number	For reporting from the settlement internaliser to the competent authority, the phone number of the person responsible for the report at the settlement internaliser. For reporting from the competent authority to ESMA, the phone number of the liaison at the competent authority.
8	C0010, R0080	Email address	For reporting from the settlement internaliser to the competent authority, the email address of the person responsible for the report at the settlement internaliser. For reporting from the competent authority to ESMA, the email address of the liaison at the competent authority.

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9	C0100, R0270	Issuer CSD identifier	Insert identification
			code of the CSD, using an LEI. If information on the issuer CSD is not available the first two characters of the ISIN codes shall be used.
10	C0100, R0280	Issuer CSD Country Code	Identify the ISO 3166 2 character code of the place of establishment of the issuer CSD.
11	C0020, R0090 C0110, R0290	Overall total	Aggregated volume of internalised settlement instructions settled by the settlement internaliser during the period covered by the report.
12	C0030, R0090 C0120, R0290	Overall total	Aggregated value, expressed in euros, of internalised settlement instructions settled during the period covered by the report.
13	C0040, R0090 C0130, R0290	Overall total	Aggregated volume of failed internalised settlement instructions during the period covered by the report
14	C0050, R0090 C0140, R0290	Overall total	Aggregated value, expressed in euros, of failed internalised settlement instructions during the period covered by the report
15	C0060, R0090 C0150, R0290	Overall total	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed

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			settlement instructions during the period covered by the report.
16	C0070, R0090 C0160, R0290	Overall total	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and of failed internalised settlement instructions during the period covered by the report.
17	C0080, R0090 C0170, R0290	Overall total	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions during the period covered by the report.
18	C0090, R0090 C0180, R0290	Overall total	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions during the period covered by the report.
19	C0020, R0100 C0110, R0300	Transferable securities referred to	Aggregated volume of internalised

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		4(1)(44) of Directive 2014/65/EU	instructions settled in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
20	C0030, R0100 C0120, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
21	C0040, R0100 C0130, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report
22	C0050, R0100 C0140, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report
23	C0060, R0100 C0150, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised

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			instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
24	C0070, R0100 C0160, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
25	C0080, R0100 C0170, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
26	C0090, R0100 C0180, R0300	Transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
27	C0020, R0110 C0110, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
28	C0030, R0110 C0120, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
29	C0040, R0110 C0130, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report
30	C0050, R0110 C0140, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in sovereign debt

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			Referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report
31	C0060, R0110 C0150, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
32	C0070, R0110 C0160, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and of failed internalised settlement instructions in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
33	C0080, R0110 C0170, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EU 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
34	C0090, R0110 C0180, R0310	Sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
35	C0020, R0120 C0110, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled in transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
36	C0030, R0120 C0120, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article	Aggregated value, expressed in euros, of internalised settlement instructions settled in transferable securities referred to in point (b) of Article 4(1)

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found at [http://www.legislation.gov.uk/ukdsi/2018/1115](#).

		2014/65/EU	2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
37	C0040, R0120 C0130, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report
38	C0050, R0120 C0140, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report
39	C0060, R0120 C0150, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in transferable securities

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			<p>(b) of Article 4(1) (44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.</p>
40	C0070, R0120 C0160, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and of failed internalised settlement instructions in transferable securities referred to in point (b) of Article 4(1) (44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
41	C0080, R0120 C0170, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (b) of Article 4(1) (44) of Directive 2014/65/EU other than sovereign debt referred to in Article

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
42	C0090, R0120 C0180, R0320	Transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
43	C0020, R0130 C0110, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
44	C0030, R0130 C0120, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			EU during the period covered by the report.
45	C0040, R0130 C0130, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report
46	C0050, R0130 C0140, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report
47	C0060, R0130 C0150, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
48	C0070, R0130 C0160, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			(c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
49	C0080, R0130 C0170, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
50	C0090, R0130 C0180, R0330	Transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU during the period covered by the report.
51	C0020, R0140 C0110, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled in exchange-traded funds as defined in

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EU Regulation 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			point (46) of Article 4(1) of Directive 2014/65/EU
			4(1) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
52	C0030, R0140 C0120, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
53	C0040, R0140 C0130, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report
54	C0050, R0140 C0140, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report
55	C0060, R0140 C0150, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
56	C0070, R0140 C0160, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
57	C0080, R0140 C0170, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
58	C0090, R0140 C0180, R0340	Exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value,

Status: Point in time view as at 31/12/2020.

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			of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
59	C0020, R0150 C0110, R0350	Units in collective investment undertakings, other than ETFs	Aggregated volume of internalised settlement instructions settled for units in collective investment undertakings, other than ETFs by the settlement internaliser during the period covered by the report.
60	C0030, R0150 C0120, R0350	Units in collective investment undertakings, other than ETFs	Aggregated value, expressed in euros, of internalised settlement instructions settled in units in collective investment undertakings, other than ETFs during the period covered by the report.
61	C0040, R0150 C0130, R0350	Units in collective investment undertakings, other than ETFs	Aggregated volume of failed internalised settlement instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
62	C0050, R0150 C0140, R0350	Units in collective investment	Aggregated value, expressed in euros, of failed internalised

Status: Point in time view as at 31/12/2020.

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		than ETFs	instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
63	C0060, R0150 C0150, R0350	Units in collective investment undertakings, other than ETFs	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
64	C0070, R0150 C0160, R0350	Units in collective investment undertakings, other than ETFs	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
65	C0080, R0150 C0170, R0350	Units in collective investment undertakings, other than ETFs	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			failed internalised settlement instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
66	C0090, R0150 C0180, R0350	Units in collective investment undertakings, other than ETFs	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in units in collective investment undertakings, other than ETFs during the period covered by the report.
67	C0020, R0160 C0110, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
68	C0030, R0160 C0120, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled in money market instruments other than sovereign debt

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
69	C0040, R0160 C0130, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report
70	C0050, R0160 C0140, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report
71	C0060, R0160 C0150, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
72	C0070, R0160 C0160, R0360	Money market instruments other than sovereign debt	Aggregated total value, expressed in euros, of internalised

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EU Regulation 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found [related to in Article 4\(1\)\(b\)](#) (See end of Document for details)

		(61) of Directive 2014/65/EU	instructions settled by the settlement internaliser and failed internalised settlement instructions in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
73	C0080, R0160 C0170, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU during the period covered by the report.
74	C0090, R0160 C0180, R0360	Money market instruments other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in money market instruments other than sovereign debt referred to in

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details) of

			Directive 2014/65/ EU during the period covered by the report.
75	C0020, R0170 C0110, R0370	Emission allowances	Aggregated volume of internalised settlement instructions settled in emission allowances by the settlement internaliser during the period covered by the report.
76	C0030, R0170 C0120, R0370	Emission allowances	Aggregated value, expressed in euros, of internalised settlement instructions settled in emission allowances during the period covered by the report.
77	C0040, R0170 C0130, R0370	Emission allowances	Aggregated volume of failed internalised settlement instructions in emission allowances during the period covered by the report
78	C0050, R0170 C0140, R0370	Emission allowances	Aggregated value, expressed in euros, of failed internalised settlement instructions in emission allowances during the period covered by the report
79	C0060, R0170 C0150, R0370	Emission allowances	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in emission allowances during the period covered by the report.

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk

80	C0070, R0170 C0160, R0370	Emission allowances	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in emission allowances during the period covered by the report.
81	C0080, R0170 C0170, R0370	Emission allowances	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in emission allowances during the period covered by the report.
82	C0090, R0170 C0180, R0370	Emission allowances	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in emission allowances during the period covered by the report.
83	C0020, R0180 C0110, R0380	Other financial instruments	Aggregated volume of internalised settlement instructions settled

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			instruments by the settlement internaliser during the period covered by the report.
84	C0030, R0180 C0120, R0380	Other financial instruments	Aggregated value, expressed in euros, of internalised settlement instructions settled in other financial instruments during the period covered by the report.
85	C0040, R0180 C0130, R0380	Other financial instruments	Aggregated volume of failed internalised settlement instructions in other financial instruments during the period covered by the report
86	C0050, R0180 C0140, R0380	Other financial instruments	Aggregated value, expressed in euros, of failed internalised settlement instructions in other financial instruments during the period covered by the report
87	C0060, R0180 C0150, R0380	Other financial instruments	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions in other financial instruments during the period covered by the report.
88	C0070, R0180 C0160, R0380	Other financial instruments	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			failed internalised settlement instructions in other financial instruments during the period covered by the report.
89	C0080, R0180 C0170, R0380	Other financial instruments	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in other financial instruments during the period covered by the report.
90	C0090, R0180 C0180, R0380	Other financial instruments	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in other financial instruments during the period covered by the report.
91	C0020, R0190 C0110, R0390	Purchase or sale of securities	Aggregated volume of internalised settlement instructions settled for purchase or sale of securities by the settlement internaliser during the period covered by the report.
92	C0030, R0190 C0120, R0390	Purchase or sale of securities	Aggregated value, expressed in euros,

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			settlement instructions settled for the purchase or sale of securities during the period covered by the report.
93	C0040, R0190 C0130, R0390	Purchase or sale of securities	Aggregated volume of failed internalised settlement instructions for the purchase or sale of securities during the period covered by the report
94	C0050, R0190 C0140, R0390	Purchase or sale of securities	Aggregated value, expressed in euros, of failed internalised settlement instructions for the purchase or sale of securities during the period covered by the report
95	C0060, R0190 C0150, R0390	Purchase or sale of securities	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for the purchase or sale of securities during the period covered by the report.
96	C0070, R0190 C0160, R0390	Purchase or sale of securities	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the purchase or sale of securities during the

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			period covered by the report.
97	C0080, R0190 C0170, R0390	Purchase or sale of securities	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the purchase or sale of securities during the period covered by the report.
98	C0090, R0190 C0180, R0390	Purchase or sale of securities	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the purchase or sale of securities during the period covered by the report.
99	C0020, R0200 C0110, R0400	Collateral management operations	Aggregated volume of internalised settlement instructions settled for the collateral management operations by the settlement internaliser during the period covered by the report. Collateral management

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			<p>defined as:</p> <ul style="list-style-type: none"> — Collateral in: COLI; — Collateral out: COLO; — Central bank collateral operation: CNCB.
100	C0030, R0200 C0120, R0400	Collateral management operations	<p>Aggregated value, expressed in euros, of internalised settlement instructions settled for the collateral management operations during the period covered by the report.</p> <p>Collateral management operations are defined as:</p> <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
101	C0040, R0200 C0130, R0400	Collateral management operations	<p>Aggregated volume of failed internalised settlement instructions for the collateral management operations during the period covered by the report.</p> <p>Collateral management operations are defined as:</p> <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			bank collateral operation: CNCB
102	C0050, R0200 C0140, R0400	Collateral management operations	Aggregated value, expressed in euros, of failed internalised settlement instructions for the collateral management operations during the period covered by the report. Collateral management operations are defined as: <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
103	C0060, R0200 C0150, R0400	Collateral management operations	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for the collateral management operations during the period covered by the report. Collateral management operations are defined as: <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			bank collateral operation: CNCB
104	C0070, R0200 C0160, R0400	Collateral management operations	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the collateral management operations during the period covered by the report. Collateral management operations are defined as: <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
105	C0080, R0200 C0170, R0400	Collateral management operations	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the collateral management operations during the period covered by the report.

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			<p>management operations are defined as:</p> <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
106	C0090, R0200 C0180, R0400	Collateral management operations	<p>The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the collateral management operations during the period covered by the report.</p> <p>Collateral management operations are defined as:</p> <ul style="list-style-type: none"> — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
107	C0020, R0210 C0110, R0410	Securities lending and securities borrowing	<p>Aggregated volume of internalised settlement instructions settled for the securities lending and securities borrowing by the</p>

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			Settlement internaliser during the period covered by the report.
108	C0030, R0210 C0120, R0410	Securities lending and securities borrowing	Aggregated value, expressed in euros, of internalised settlement instructions settled for the securities lending and securities borrowing during the period covered by the report.
109	C0040, R0210 C0130, R0410	Securities lending and securities borrowing	Aggregated volume, expressed in euros, of failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
110	C0050, R0210 C0140, R0410	Securities lending and securities borrowing	Aggregated value, expressed in euros, of failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
111	C0060, R0210 C0150, R0410	Securities lending and securities borrowing	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
112	C0070, R0210 C0160, R0410	Securities lending and securities borrowing	Aggregated total value, expressed in euros, of internalised settlement

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			by the settlement internaliser and failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
113	C0080, R0210 C0170, R0410	Securities lending and securities borrowing	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
114	C0090, R0210 C0180, R0410	Securities lending and securities borrowing	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the securities lending and securities borrowing during the period covered by the report.
115	C0020, R0220 C0110, R0420	Repurchase transactions	Aggregated volume of internalised settlement instructions settled for the repurchase

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			<p>settlement internaliser during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions: RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
116	C0030, R0220 C0120, R0420	Repurchase transactions	<p>Aggregated value, expressed in euros, of internalised settlement instructions settled for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement

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Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			<p>transactions:</p> <ul style="list-style-type: none"> — RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
117	C0040, R0220 C0130, R0420	Repurchase transactions	<p>Aggregated volume of failed internalised settlement instructions for the repurchase transactions by the settlement internaliser during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions: RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back

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			transactions:
			— BSBK Sell buy back transactions: SBBK
118	C0050, R0220 C0140, R0420	Repurchase transactions	Aggregated value, expressed in euros, of failed internalised settlement instructions for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as: — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions:RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
119	C0060, R0220 C0150, R0420	Repurchase transactions	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised

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			<p>instructions for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions: RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
120	C0070, R0220 C0160, R0420	Repurchase transactions	<p>Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as:</p>

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			<ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions: RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
121	C0080, R0220 C0170, R0420	Repurchase transactions	<p>The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU

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			<ul style="list-style-type: none"> repurchase agreement transactions: RVPO — Triparty repurchase agreements: TRPO — Triparty reverse repurchase agreements: TRVO — Buy sell back transactions: BSBK — Sell buy back transactions: SBBK
122	C0090, R0220 C0180, R0420	Repurchase transactions	<p>The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for the repurchase transactions during the period covered by the report. Repurchase transactions are defined as:</p> <ul style="list-style-type: none"> — Repurchase agreement transactions: REPU — Reverse repurchase agreement transactions: RVPO

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			<p>repurchase agreements: TRPO</p> <p>— Triparty reverse repurchase agreements: TRVO</p> <p>— Buy sell back transactions: BSBK</p> <p>— Sell buy back transactions: SBBK</p>
123	C0020, R0230 C0110, R0430	Other securities transactions	Aggregated volume of internalised settlement instructions settled for any other securities transactions by the settlement internaliser during the period covered by the report.
124	C0030, R0230 C0120, R0430	Other securities transactions	Aggregated value, expressed in euros, of internalised settlement instructions settled for any other securities transactions during the period covered by the report.
125	C0040, R0230 C0130, R0430	Other securities transactions	Aggregated volume of failed internalised settlement instructions settled for any other securities transactions during the period covered by the report.
126	C0050, R0230 C0140, R0430	Other securities transactions	Aggregated value, expressed in euros, of failed internalised settlement instructions for any other securities transactions during

Status: Point in time view as at 31/12/2020.

Changes to legislation: Commission Implementing Regulation (EU) 2017/393 is up to date with all changes known to be in force on or before 10 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) EUR 2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk. Details of relevant amending instruments can be found on their website/s. (See end of Document for details)

			the period covered by the report.
127	C0060, R0230 C0150, R0430	Other securities transactions	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for any other securities transactions during the period covered by the report.
128	C0070, R0230 C0160, R0430	Other securities transactions	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for any other securities transactions during the period covered by the report.
129	C0080, R0230 C0170, R0430	Other securities transactions	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for any other securities transactions during the period covered by the report.
130	C0090, R0230 C0180, R0430	Other securities transactions	The rate of failed internalised

Status: Point in time view as at 31/12/2020.

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			instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for any other securities transactions during the period covered by the report.
131	C0020, R0240 C0110, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
132	C0030, R0240 C0120, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
133	C0040, R0240 C0130, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU during the period covered by the report

Status: Point in time view as at 31/12/2020.

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134	C0050, R0240 C0140, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU	Aggregated value, expressed in euros, of failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU during the period covered by the report
135	C0060, R0240 C0150, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU during the period covered by the report.
136	C0070, R0240 C0160, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU during the period covered by the report.
137	C0080, R0240 C0170, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/ EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised

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			instructions settled by the settlement internaliser and failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
138	C0090, R0240 C0180, R0440	Professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for professional clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
139	C0020, R0250 C0110, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of internalised settlement instructions settled for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU by the settlement internaliser during the period covered by the report.
140	C0030, R0250 C0120, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated value, expressed in euros, of internalised settlement instructions settled for retail clients as

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			of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
141	C0040, R0250 C0130, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report
142	C0050, R0250 C0140, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated value, expressed in euros, of failed internalised settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
143	C0060, R0250 C0150, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
144	C0070, R0250 C0160, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and number of failed

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			settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
145	C0080, R0250 C0170, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
146	C0090, R0250 C0180, R0450	Retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for retail clients as defined in point (11) of Article 4(1) of Directive 2014/65/EU during the period covered by the report.
147	C0020, R0260 C0110, R0460	Total cash transfers	Aggregated volume of internalised

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			instructions settled for cash transfers by the settlement internaliser during the period covered by the report.
148	C0030, R0260 C0120, R0460	Total cash transfers	Aggregated value, expressed in euros, of internalised settlement instructions settled for cash transfers during the period covered by the report.
149	C0040, R0260 C0130, R0460	Total cash transfers	Aggregated volume of failed internalised settlement instructions for cash transfers during the period covered by the report
150	C0050, R0260 C0140, R0460	Total cash transfers	Aggregated value, expressed in euros, of failed internalised settlement instructions for cash transfers during the period covered by the report
151	C0060, R0260 C0150, R0460	Total cash transfers	Aggregated total of the volume of internalised settlement instructions settled by the settlement internaliser and volume of failed internalised settlement instructions for cash transfers during the period covered by the report.
152	C0070, R0260 C0160, R0460	Total cash transfers	Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement

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			failed internalised settlement instructions for cash transfers during the period covered by the report.
153	C0080, R0260 C0170, R0460	Total cash transfers	The rate of failed internalised settlement instructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for cash transfers during the period covered by the report.
154	C0090, R0260 C0180, R0460	Total cash transfers	The rate of failed internalised settlement instructions compared to the total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions for cash transfers during the period covered by the report.

ANNEX III

Template for informing of potential risks

Potential Risks	
Identification of the reporting competent authority	
	C0010

Status: Point in time view as at 31/12/2020.

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Name of the competent authority	R0010	
Reporting timestamp	R0020	
Reporting period	R0030	
Name of the main liaison	R0040	
Function of the main liaison	R0050	
Phone number of the main liaison	R0060	
Email address of the main liaison	R0070	
Identification of any potential risks resulting from the internalised settlement activity in the jurisdiction		
Identification of any potential risks resulting from the internalised settlement activity in the jurisdiction	R0080	

ANNEX IV

Instructions for completing the template for informing of potential risks

The 'Cell Reference' column of the table below identifies the items to be reported by identifying the columns and lines as showed in the template in Annex III

No.	Cell Reference	Item	Instruction
1	C0010, R0010	Name of the competent authority.	The full name of the competent authority.
2	C0010, R0020	Reporting timestamp	Identify the ISO 8601 in UTC time format (YYYY-MM-DDThh:mm:ssZ) code of the date when the report from the competent authority is made.
2	C0010, R0030	Reporting period	Identify the ISO 8601 (YYYY-MM-DD) code of the date identifying the last day of the reporting period.
2	C0010, R0040	Name of the main liaison.	The main liaison at the competent authority that is responsible for

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			potential risks template.
3	C0010, R0050	Function of the main liaison.	The function of the main liaison at the competent authority that is responsible for completing the potential risks template.
4	C0010, R0060	Phone number of the main liaison.	The phone number of the main liaison at the competent authority who is responsible for completing the potential risks template.
5	C0010, R0070	Email address of the main liaison.	The email address of the main liaison at the competent authority that is responsible for completing the potential risks template.
6	C0010, R0080	Identification of any potential risks resulting from the internalised settlement activity in the jurisdiction.	Completed as free text.

Status: Point in time view as at 31/12/2020.

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2017 No. 393 may be subject to amendment by EU Exit Instruments made by the Bank of England under powers set out in The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018 (S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk.

- (1) [OJ L 257, 28.8.2014, p. 1](#) Details of relevant amending instruments can be found on their website/s. (See end of Document for details)
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- (2) Regulation (EU) No 1095/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Securities and Markets Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/77/EC (OJ L 331, 15.12.2010, p. 84).

Status:

Point in time view as at 31/12/2020.

Changes to legislation:

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