Status: Point in time view as at 31/12/2020.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

Status: Point in time view as at 31/12/2020.

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

 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

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.

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

Status: Point in time view as at 31/12/2020.

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Done at Brussels, 11 November 2016.

For the Commission
The President
Jean-Claude JUNCKER

Status: Point in time view as at 31/12/2020.

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Template for reporting and transmission of information on internalised settlement

Internal	ised Settle	mont							
		aliser Info	rmation						
Settletill		C0010	nination						
Country	D0010	C0010							
code	KUUTU								
Reportin timestar									
Reporting period	n Ŗ 0030								
LEI	R0040								
Name of person responsi	R0050								
Function of person responsi									
Phone number	R0070								
Email address	R0080								
		Aggrega	ate					Rate	
		Settled		Failed		Total		Failed	
		Volume	Value (EUR)	Volume	Value (EUR)	Volume	Value (EUR)	Volume	%Value %
		C0020	C0030	C0040	C0050	C0060	C0070	C0080	C0090
Overall total	R0090								
Financia instrum									
Transfer securitie referred in point (a) of Article 4 (44) of Directive	s to (1)								

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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2014/65b	rtails of relev	ant amending	g instruments	can be found	d on their we	bsite/s. (See e	end of Docum	ent for detail	(s)
EU									
of the									
European									
Parliame	nt								
and									
of the									
Councila									
Sovereign	rR0110								
debt									
referred									
to in									
Article									
4(1)									
(61) of									
Directive	;								
2014/65/									
EU									
Transfera	1DIA120								
securities									
referred t									
	.0								
in point									
(b) of	(1)								
Article 4	(1)								
(44) of									
Directive	;								
2014/65/									
EU									
other									
than									
sovereigr	1								
debt									
referred									
to in									
Article									
4(1)									
(61) of									
Directive	;								
2014/65/									
EU									
Transfera	R A130								
securities									
referred t									
	U								
in point									
(c) of	(1)								
Article 4	(1)								
(44) of									
Directive	;								

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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Document Generated: 2024-07-10

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

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	etails of relev	ant amending instruments	can be foun	d on their we	bsite/s. (See e	nd of Docun	ent for detail	s)
EU								
Exchange traded funds as defined in point (46) of A of Directive 2014/65/EU	article 4(1)						
Units in collective investment undertake other than exchange traded funds	e ent ings,							
Money market instrume other than sovereig debt referred to in Article 4(1) (61) of Directive 2014/65/EU	n							
Emission								
Other financial instrume								
Type of transact	ions							
Purchase		ELL of the European Parlia		1.0 "	C15.M 222			

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 D	etails of relev	115), regs. 2, ant amending	3, Scn. Pt. 3. g instruments	can be found	aments are n d on their we	ot currently a bsite/s. (See e	vailable on l and of Docun	egisiation.go tent for detail	v.uk. (s)
Collatera managen operation	nR0200								
Securities lending and securities borrowing	S								
Repurcha transaction									
Other securities transaction									
Type of client									
Profession clients as defined in point (10) of Article 4(1) of Directive 2014/65/EU									
Retail clients as defined in point (11 of Article 4(1) of Directive 2014/65/EU									
Cash Transfei	rs								
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 Issuets & Solvinformationstruments can be found on their website/s. (See end of Document for details) C0100 **Issuer** R0270 **CSD** identifier Issuer R0280 **CSD** country code Aggregate Rate Settled **Total Settled** Failed Failed Failed Volume Value Volume Value Volume Value Volume Walue % (EUR) (EUR) (EUR) C0110 C0120 C0130 C0140 C0150 C0160 C0170 C0180 Overall R0290 total Financial instruments Transfera**R0300** securities referred to in point (a) of Article 4(1) (44) of Directive 2014/65/ EU SovereignR0310 debt referred to in Article 4(1) (61) of Directive 2014/65/ EU Transfera R0320 securities referred to in point (b) of Article 4(1) (44) of

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 tails of relev	ant amendin	g instruments	can be found	d on their we	bsite/s. (See e	nd of Docum	egisiaiion.go ient for detail	s)
2014/65/								
EU								
other than								
sovereign								
debt								
referred								
to in								
Article								
4(1)								
(61) of								
Directive								
2014/65/								
EU								
Transfera R0330								
securities								
referred to								
in point								
(c) of								
Article 4(1)								
(44) of								
Directive								
2014/65/								
EU								
ExchangeR0340								
traded								
funds								
as								
defined								
in point								
(46)								
of Article 4(1) of								
Directive								
2014/65/								
EU								
Units in R0350 collective								
investment								
undertakings								
other								
than								
ETFs								
Money market R0360								
instruments								
other								
than								
	L							

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).

technical...

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	atails of relev	ant amending	g instruments	can be found	d on their we	bsite/s. (See e	nd of Docum	ent for detail	s)
debt referred									
to in Article 4(1) (61) of									
Directive 2014/65/ EU									
Emission									
Other financial instrume									
Type of transact	ions								
Purchase or sale of securities									
Collatera managen operation	nent								
Securities lending and securities borrowing	S								
Repurcha transaction									
Other securities transaction									
Type of client									
Professional clients as defined in point (10) of	o iR.0 440								
Article 4(1) of Directive	e								

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					
Cash Transfer	rs				
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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Details of relevant ar	mending instruments can be foun	d on their website/s. (See end of	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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Details of relevant an	nending instruments can be foun	d on their website/s. (See end of	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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	(S.I. 2018/1115), regs. 2, 3, Sch. Pt. 3. These amen tails of relevant am ching postprogra cean be foun		
			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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Details of i	C0070, R0090 C0160, R0290	Overall total	settlement instructions during the period covered by the report. Aggregated total value, expressed in euros, of internalised settlement instructions settled by the settlement internaliser and of failed internalised settlement instructions during
17	C0080, R0090	Overall total	the period covered by the report. The rate of failed
	C0170, R0290		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	Aggregated volume to of internalised

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Details of relevant an	ending instruments can be found	aina prointebai)eof Actiolog	
		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

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/II15), regs. 2, 3, Sch. Pt. 3. These amendments are not currently available on legislation.gov.uk.

Details of relevant as	mending instruments can be foun	d on their website/s. (See end of	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 Dectable 1009).

Details of relevant an	regs. 2, 3, Scn. Ft. 3. These amen nending instruments can be foun	d on their website/s. (See end of	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 releva	nt amending instruments can be	found on their website/s. (See end of	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) 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 Diabitate Indias Aut)

Details of relevant amending instruments can be found on their website/s. (See end of Diashtaic Diastails)			
			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 an	egs. 2, 3, Sch. Pt. 3. These amen ending instruments can be foun	d 4h link 66 ling to the Direction to f	D(AAn) enf Directive
		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.

2018 (S.I. 2018/1115), Details of relevant ar	regs. 2, 3, Sch. Pt. 3. These amen mending instruments can be foun	dments are not currently availabed on their website/s. (See end of	le on legislation.gov.uk. profestrochtaeim/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.
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) and the transfer of the content of the content

Details of relevant an	nending instruments can be foun	d on their website/s. (See end of	
			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 particles) period

Details of r	elevant amending instruments can be	found on their website/s. (See end of	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 Declarated County)

Details of releval	m umenung instruments can be	found on their website/s. (See end of	(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)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/II15), regs. 2, 3, Sch. Pt. 3. These amendments are not contently available on legislation.gov.uk.

Details of relevant an	nending instruments can be foun	d on their website/s. (See end of	ppaintn(46) tofite rticle
			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.) (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.

	nending instruments can be foun		piastructions ain)
			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.

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 Documents Suchlika (EUCS).

Details of relevant ar	nending instruments can be foun	d on their website/s. (See end of I	
			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.

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 under takings. (Stagetd of Deetthement)

Details of relevant ar	nending instruments can be foun		
		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 a	nending instruments can be foun	d on their website/s. (See end of A	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(61) of Directive 2014/65/EU	Aggregated volume of internalised settlement (histructions 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 40 (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 and Article

Details of relevant ar	nending instruments can be foun	d on their website/s. (See end of I	
			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 46 (61) of Directive 2014/65/EU	Aggregated volume of failed internalised settlement (h)structions 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(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(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) 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 an	ending instruments can be found	reafærredetarin. Asrticle 41	Settlementetails)
		(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 40 (61) of Directive 2014/65/EU	The rate of failed internalised settlement histructions compared to the aggregated total volume of internalised settlement instructions settled by the settlement internaliser and failed internalised settlement instructions in money market 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 46 (61) of Directive 2014/65/EU	The rate of failed internalised settlement (h)structions 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.1. 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 Doctricker (de) (fish)) Of

Details of relevant amending instruments can be found on their website/s. (See end of Details of the follows) 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.

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.

	regs. 2, 3, Sch. Pt. 3. These amen manding instruction be foun		
80 Details of relevant a	C0160, R0370	"Emission anowances"	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

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 Diagolate of Parameial

Details of	relevant amending instruments can be	found on their website/s. (See en	
			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

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 Pailack Internalised)

Details of rei	evant amending instruments can be	found on their website/s. (See end	
			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,

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 with all changes known to be in force at a future date.)

Details of relevant amending instruments can be found on their website/s. (See end of potimetognalisad)				
			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 Pootion Converts) by the

Details of rele	evant amending instruments can be	found on their website/s. (See end o	
			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

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 DOPOTATIONSATION)

	consequence of the consequence o		defined as: — Collateral in: COLI; — Collateral out: COLO; — Central bank collateral operation: CNCB. Aggregated value, expressed in euros, of internalised settlement instructions settled
			for the collateral management operations during the period covered by the report. Collateral management operations are defined as: — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
101	C0040, R0200 C0130, R0400	Collateral management operations	Aggregated volume of failed internalised settlement instructions for the collateral management operations during the period covered by the report. Collateral management operations are defined as: — Collateral in: COLI — Collateral out: COLO

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 Pocument for Centifial

Details of relevant as	mending instruments can be foun	d on their website/s. (See end of	
			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: — 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: — Collateral in: COLI — Collateral out: COLO

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 Leant all

Details of relevant ar	nending instruments can be foun	d on their website/s. (See end of .	
			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: 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.

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 an	regs. 2, 3, 3cn. Ft. 3. These amen nending instruments can be found	d on their website/s. (See end of I	DGallatetaldetails) management
			operations are defined as: — Collateral in: COLI — Collateral out: COLO — Central bank collateral operation: CNCB
106	C0090, R0200 C0180, R0400	Collateral management operations	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. Collateral management operations are defined as: Collateral in: COLI Collateral out: COLO Central bank collateral operation: CNCB
107	C0020, R0210 C0110, R0410	Securities lending and securities borrowing	Aggregated volume of internalised settlement instructions settled for the securities lending and securities borrowing by 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 posetile myentamiscrnaliser

Details of relevant a	mending instruments can be foun	d on their website/s. (See end of	,
			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

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 DMASTANDELDOMASCHILED

Details of relevant a	mending instruments can be foun	d on their website/s. (See end of	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

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.

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Details of relevant an	ending instruments can be jound	i on their website/s. (See end of I		nt internaliser
			during the period covered by the report.	
			Repurcha	
			transaction	
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				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	Repurchase		ted value,
	C0120, R0420	transactions		d in euros,
			of interna	
			settlemer	nt
			instruction	ons settled
			for the re	purchase
				ons during
				d covered by
			the repor	
			Repurcha	
			transaction	
			defined a	
				Repurchase
			_	agreement
				transactions:
				REPU
				Reverse
				repurchase
				agreement

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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 MENNISCLIONS)

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117	C0040, R0220 C0130, R0420	Repurchase transactions	ag tra R R R re ag tra R Tra re ag Tra re ag Tra re ag Tra R R R R R R R R R	s for ase s by the internaliser period the report.

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/II15), 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 MEMINSACTION

2018 (S.1. 201 Details of re	8/1115), regs. 2, 3, Sch. Pl. 3. These elevant amending instruments can be	amenaments are not currently found on their website/s. (See	end of Document for 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: TRPO — TRYO — Buy sell back transactions: BSBK — Sell buy back transactions:
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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Status: Point in time view as at 31/12/2020.

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Details of relevant amending instruments can be found on their website/s (See end of Dectails 100 to 100

2018 (S.I. 2018/1115), r Details of relevant an	egs. 2, 3, Sch. Pt. 3. These amen aending instruments can be found	aments are not currently availab d on their website/s (See and of	ie on iegisiaii rsettlemei	ion.gov.uk. Mataile)
Details of relevant an	ienaing instruments can be jound	i on their website/s. (see end of .	instruction	
			the repur	
				ons during
				d covered by
			the repor	
			Repurcha	
			transaction	ons are
			defined a	is:
				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	euros, of settlemen instruction by the se internalist failed int settlemen instruction the repur transaction	epressed in internalised on internalised on settled ettlement ser and ernalised on ons for echase ons during d covered by t. asse ons are

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

Details of relevant an	egs. 2, 3, Sch. Pt. 3. These amen uending instruments can be found	d on their website/s. (See end of I	D ocu ment for	Repurchase agreement
				transactions: REPU
				Reverse repurchase
				agreement transactions:
			_	RVPO Triparty repurchase
				agreements:
			_	Triparty reverse
				repurchase agreements: TRVO
			_	Buy sell back
			_	transactions: BSBK Sell buy
				back
				transactions: SBBK
121	C0080, R0220 C0170, R0420	Repurchase transactions	to the agg total volu of interna settlemer instruction by the se internalis failed into settlement instruction the repur transaction	sed int ons compared gregated ime alised int ons settled ttlement ser and ernalised int ons for chase ons during d covered by t. ase ons are

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2018 (S.I. 2018/1 Details of relev	115), regs. 2, 3, Sch. Pt. 3. These ame ant amending instruments can be fou	enaments are not currently availab and on their website/s. (See end of	ple on legislation.gov.uk. D ocu ment for Repmer se
Details by reiev	un unenung instruments eun be jou	na on men website/s. (See ena of	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	Repurchase	The rate of failed
	C0180, R0420	transactions	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:
			— Repurchase
			agreement
			transactions:
			REPU
			— Reverse
			repurchase
			agreement
		1	l tuon ao ation a.
			transactions: RVPO

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Details of relevant a	mending instruments can be foun	d on their website/s. (See end of .	p ocu ment for Te tt	party
Details of relevant as	regs. 2, 3, Sch. Fl. 3. These amen mending instruments can be foun	d on their website/s. (See end of	Document for Deta rep ag TR — Tri rev rep ag TR — Bu bac tra	purchase reements: RPO iparty verse purchase reements: RVO by sell ck nsactions: BBK II buy
				nsactions:
123	C0020, R0230 C0110, R0430	Other securities transactions	Aggregated of internalis settlement instructions for any othe securities traby the settle internaliser operiod cover report.	settled r ansactions ment during the
124	C0030, R0230 C0120, R0430	Other securities transactions	Aggregated expressed in of internalis settlement instructions for any othe securities traduring the p covered by t	settled r nnsactions eriod
125	C0040, R0230 C0130, R0430	Other securities transactions	Aggregated of failed into settlement instructions for any othe securities traduring the p covered by t	settled r nnsactions eriod
126	C0050, R0230 C0140, R0430	Other securities transactions	Aggregated expressed in of failed into settlement instructions any other se transactions	euros, ernalised for curities

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Details of re	elevant amending instruments can be	found on their website/s. (See en	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

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Details of relevant an	nending instruments can be foun	d on their website/s. (See end of	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

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2018 (S.I. 2018/1115), i	regs. 2, 3, Sch. Pt. 3. These amen	dments are not currently availab	le on legislation.gov.uk.
134 Details of relevant an	C0140, R0440	as defined in point (10) of Article 4(1) of Directive 2014/65/EU	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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Details of relevant a	nending instruments can be foun	d on their website/s. (See end of .	
			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/	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/	Aggregated value, expressed in euros, of internalised settlement instructions settled for retail clients as

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Details of relevant an	ending instruments can be foun	d on their website/s. (See end of .	
			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/	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/	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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Details of relevant an	nending instruments can be found	d on their website/s. (See end of	
			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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Details of relevant a	mending instruments can be foun	d on their website/s. (See end of	
			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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	nending instruments can be found	a on their weostiers. (See ena of t	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

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Name dethic confinementing in authority	st RACI (san be found on their website/s. (s	See end of Document for details)			
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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	8		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.

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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:

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Changes to legislation:

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