**Breach and Incident Reporting Form for MiFID Firms – Part 2**

This form is Part 2 of the *Breach and Incident Reporting Form for MiFID Firms*. Part 1 is available on the Online Reporting System. Both parts should be completed and submitted simultaneously on the Online Reporting System.

**Section 1 - Breach**

***If (A) is selected in Part 1, please answer the questions in Section 1, otherwise skip to Section 2.***

When did the breach occur? Please specify the relevant date(s) and the time interval over which the breach occurred.

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Please provide comprehensive details of the breach.

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What is the impact of the breach? Please provide an assessment of (i) the financial impact to the firm, customers and other relevant stakeholders, (ii) the reputational impact and (iii) any other impact.

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On what date was the breach identified? [dd/mm/yyyy]

How was the breach identified?

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Has the breach been rectified? [Yes / No / Not Applicable]

If yes, please explain how and when the breach was rectified.

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If no, please detail the actions that are planned to rectify the breach. Include detail on the expected timeframe to complete these actions.

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If not applicable, please explain why.

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Please detail any further changes to the firm’s systems, procedures or controls that have been made or are planned as a result of the identification of the breach.

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**Section 2 – Potential Future Breach**

***If (B) is selected in Part 1, please answer the questions in Section 2, otherwise skip to Section 3.***

Please provide comprehensive detail on the potential future breach.

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What is the probability of the potential future breach occurring?

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When do you estimate the potential future breach might occur?

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What is the estimated impact of the potential future breach? Please provide an estimate of (i) the financial impact to the firm, customers and other relevant stakeholders, (ii) the reputational impact and (iii) any other impact.

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What actions have you taken or are planned in order to mitigate or prevent the potential future breach? Include detail on the expected timeframe to complete these actions.

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**Section 3 – Operational Incident**

***If (C) is selected in Part 1, please answer the questions in Section 3, otherwise skip to Section 4.***

When did the operational incident occur? Please specify the relevant date(s) and the time interval over which the incident occurred.

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Please provide comprehensive details of the operational incident.

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What is the impact of the operational incident? Please provide an assessment of (i) the financial impact to the firm, customers and other relevant stakeholders, (ii) the reputational impact and (iii) any other impact.

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On what date was the incident identified? [dd/mm/yyyy]

How was the incident identified?

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Has the incident been rectified? [Yes / No / Not Applicable]

If yes, please explain how and when the operational incident was rectified.

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If no, please detail the actions that are planned to rectify the operational incident. Include detail on the expected timeframe to complete these actions.

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If not applicable, please explain why.

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Please detail any further changes to the firm’s systems, procedures or controls that have been made or are planned as a result of the identification of the operational incident.

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**Section 4 – Further Information**

Please detail any additional information pertaining to this matter or upload in a separate document.

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