

# NOTIFICATION PLATFORM

**How to submit Suspicious Transaction Reports (STR) according to  
articles 15 and 16 of REMIT**

		
<b>ACER</b>	<b>NOTIFICATION PLATFORM - How to submit Suspicious Transaction Reports (STR) according to Articles 15 and 16 of REMIT</b>	

## Glossary of Acronyms

**ACER:** Agency for the Cooperation of Energy Regulators.

**REMIT:** Regulation (EU) No 1227/2011 of the European Parliament and the Council on wholesale energy market integrity and transparency.

**NRA:** National Regulatory Authority.

**EIC:** Energy Identification Code

**BIC:** Bank Identifier Code

**LEI:** Legal Entity Identifier

**GLN:** Global Location Number

**VAT:** Value Added Tax

**MIC:** Market Identifier Code

## 1 Suspicious Transaction Reporting (STR) according to Article 15 and 16 of REMIT

In order to create a new Suspicious Transaction Reporting (STR) according to Article 15 and 16 of REMIT, you will be required to fill the next sections. Some of them are mandatory: the ones highlighted in bold and that have an asterisk next to them.

<b>1) Notifying party</b>	
<b>a) Person professionally arranging transaction under Article 15 of REMIT*</b>	Mandatory. Details of the notifying party. Choose one between "Person professionally arranging transaction under Article 15 of REMIT", "NRA under Article 16(2) of REMIT", "Others"
<b>b) NRA under Article 16(2) of REMIT*</b>	
<b>c) Others*</b>	
<b>2) Type of breach</b>	
<b>a) Insider trading (Article 3 of REMIT)*</b>	Mandatory. Type of the suspicious transaction reported. You can choose this one ("Insider trading"), the next one ("Market manipulation"), or both.
<b>b) Market manipulation (Article 5 of REMIT)*</b>	Mandatory. Type of the suspicious transaction reported. You can choose this one ("Market manipulation"), the previous one ("Insider trading"), or both.

If, in section 1. **Notifying party**, you chose "**1.A Person professionally arranging transactions under Article 15 and 16 of REMIT**", you will be required to enter the following information:

<b>3) Details of the person filling the notification</b>	
<b>a) Name of the person filling the notification and organization*</b>	Mandatory. Name of the person filling the notification. Name of the organization of the person filling the notification. Maximum size: 500 characters.
<b>b) Address*</b>	Mandatory. Full address of the normal site of work of the person. Maximum size: 200 characters.
<b>c) ACER Code</b>	Unique code of the Market Participant using the ACER registration code received while registering under REMIT (e.g. A0000603S.SI). Size: 12 characters.
<b>d) Phone/Fax*</b>	Mandatory. Telephone number of the person filling the notification (including international and national codes). International access codes shall begin with "+". Maximum size: 30 characters.
<b>e) E-mail*</b>	Mandatory. Full email address of the person filling the notification. Maximum size: 300 characters.
<b>f) Retype E-mail*</b>	Mandatory. E-mail check. Minimum size: 5. Maximum size: 300.
<b>g) Role of the notifying party</b>	Professional role of the person filling the notification. Maximum size: 500 characters.

If, in section 1. **Notifying party**, you chose "**1.B NRA under Article 16(2) of REMIT**", you will be required to enter the following information:

### 3) Details of the person filling the notification

<b>a) National Regulatory Authority*</b>	Mandatory. Select an Authority from a list of NRAs.
<b>b) Phone/Fax*</b>	Mandatory. Telephone number (including international and national codes). Please notice that international and national codes must begin with "+". Maximum size: 30 characters.
<b>c) E-mail*</b>	Mandatory. Full email address of the person. Maximum size: 300 characters.
<b>d) Retype E-mail*</b>	Mandatory. E-mail check. Maximum size: 300 characters.

If, in section 1. **Notifying party**, you chose "1.C Others", you may enter the following information (only fields in bold and with an asterisk are mandatory):

### 3) Details of the person filling the notification

<b>a) Name of the notifying party</b>	Name of the Notifying party. Maximum size: 500 characters.
<b>b) Address</b>	Full business address of the person filling the notification. Maximum size: 200 characters.
<b>c) ACER Code</b>	Unique code of the Market Participant using the ACER registration code received while registering under REMIT (In case the notifying party is a Market Participant registered under REMIT). Size: 12 characters.
<b>d) Phone/Fax</b>	Telephone number of the person filling the notification (including international and national codes). International access codes shall begin with "+". Maximum size: 30 characters.
<b>e) E-mail</b>	Full email address of the person filling the notification. Maximum size: 300 characters.
<b>f) Retype E-mail</b>	E-mail check. Maximum size: 300 characters.
<b>g) Role of the notifying party</b>	Professional role of the notifying person. Maximum size: 500 characters.

### 4) Description of the suspicious order(s) / transaction(s)

<b>a) Contract ID</b>	ID of the contract using a unique code identifier provided by the market place or counterparties. This field could be enabled/disabled by ACER; if enabled, it will be mandatory. Maximum size: 40 characters.
<b>b) Transaction ID</b>	ID of the transaction as assigned by the organised market place of execution, or by the two market participants in case of bilateral contracts. This field could be enabled/disabled by ACER; if enabled, it will be mandatory. Maximum size: 52 characters.
<b>c) Other details*</b>	If fields "Contract ID" and "Transaction ID" are disabled, this field will be mandatory. The information reported shall include: <ul style="list-style-type: none"> <li>- The markets concerned</li> <li>- The type of products involved (example: intraday H09 for delivery on xx/yy/zxxx in xx)</li> <li>- The time, volume and price of the</li> </ul>

	<p>transactions/orders</p> <ul style="list-style-type: none"> <li>- the precise identification of the wholesale energy products bought and sold, the price and quantity</li> <li>- The timeline of the events</li> <li>- The type and characteristics of the order</li> <li>- The potential of cross border impact</li> <li>- The potentially affected financial products</li> </ul> <p>Maximum size: 4000 characters.</p>
<b>5) Reasons for suspecting that the transaction(s) may constitute market abuse</b>	
<b>a) Reasons for suspecting that the transaction(s) might constitute insider trading / market manipulation*</b>	Mandatory. Maximum size: 500 characters.
<b>6) Identities of the persons professionally arranging transaction(s) / issuing orders</b>	
<b>a) Identification code used by persons professionally arranging transaction(s) / issuing orders</b>	Notifying parties have an option to choose from different identification codes. Options are: EIC, BIC, LEI, GLN, VAT, ACER code, MIC.
<b>b) Code</b>	Code value depending on the code type chosen from the previous list: <ul style="list-style-type: none"> <li>i) MIC: maximum size: 4 characters</li> <li>ii) VAT: maximum size: 14 characters</li> <li>iii) EIC: size: 16 characters</li> <li>iv) BIC: size: 8 or 11 characters</li> <li>v) LEI: size: 20 characters</li> <li>vi) GLN: size: 13 characters</li> <li>vii) ACER code: size: 12 characters</li> </ul>
<b>c) Other details</b>	Name, address, telephone number, account number, capacity in which the person is performing the transaction (e.g. Broker, underwriter, agent, ...). Maximum size: 500 characters.
<b>7) Identities of any other persons known to be involved in the transaction(s)</b>	
<b>a) Identification code used by other person(s)</b>	Notifying parties have an option to choose from different identification codes. Options are: EIC, BIC, LEI, GLN, VAT, ACER code, MIC. Other identification codes can be set and chosen by ACER.
<b>b) Code</b>	Code value depending on the code type chosen from the previous list. <ul style="list-style-type: none"> <li>i) MIC: maximum size: 4 characters</li> <li>ii) VAT: maximum size: 14 characters</li> <li>iii) EIC: size: 16 characters</li> <li>iv) BIC: size: 8 or 11 characters</li> <li>v) LEI: size: 20 characters</li> <li>vi) GLN: size: 13 characters</li> <li>vii) ACER code: size: 12 characters</li> <li>viii) Any other identification code set by ACER: Maximum size: 10 characters.</li> </ul>
<b>c) Other details</b>	Name, address, telephone number, relation to person carrying out transaction, position held, role played, etc. Maximum size: 4000 characters.
<b>8) Competent authority</b>	

		
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<p><b>a) National Regulatory Authority*</b></p>	<p>Mandatory. Select from a list of NRAs to choose which NRA(s) to notify. Please note that NRAs selected will receive your Suspicious Transaction Reporting (STR) according to Articles 15 and 16 of REMIT. To choose multiple NRAs press and hold down the Ctrl key then click each NRA that you want to notify. Namely what is likely to be the NRA better placed to investigate the potential breach (in case more than one NRA is identified as the relevant Authority).</p>
<p><b>b) Other information on the National Regulatory Authority</b></p>	<p>Insert here further information regarding the selected National Regulatory Authority / Authorities. Maximum size: 2000 characters.</p>
<p><b>9) Further information which may be of significance</b></p>	
<p><b>a) Further information which may be of significance (please list any accompanying material you are supplying)</b></p>	<p>Maximum size: 500 characters.</p>
<p><b>10) Attachments</b></p>	
<p><b>a) File Attachments</b></p>	<p>Accompanying material which may be of significance. The filename can contain any combination of upper or lower case letters (a-z, A-Z), Digits (0-9), Special characters like - _ + . Allowed file types are: doc, docx, xls, xlsx, pdf. The maximum file size is 5MB</p>

**Important Notice: you will be asked to enter a captcha. You will have to type the partially obscured letters of a distorted image.**  
**Should the currently displayed letters be incomprehensible, you can refresh the image by clicking on the “refresh” button next to it.**



After entering all necessary data, click on **“Submit”** to send your notification.