

Chapter 4

Commission Delegated Regulation (EU) 2016/957

Article 7 Content of STORs

(1) Persons professionally arranging or executing transactions and market operators and investment firms operating a UK trading venue shall submit a STOR using the template set out in the Annex.

(2) The persons referred to in paragraph 1 submitting the STOR shall complete the information fields relevant to the reported orders or transactions in a clear and accurate manner. The STOR shall contain at the least the following information:

(a) identification of the person submitting the STOR and, in the case of persons professionally arranging or executing transactions, also the capacity in which the person submitting the STOR operates, in particular when dealing on own account or executing orders on behalf of third parties;

(b) description of the order or transaction, including:

(i) the type of order and the type of trading, in particular block trades, and where the activity occurred,

(ii) price and volume;

(c) reasons for which the order or transaction is suspected to constitute insider dealing, market manipulation or an attempted insider dealing or market manipulation;

(d) means of identifying any person involved in the order or transaction that could constitute insider dealing, market manipulation or attempted insider dealing or market manipulation, including the person who placed or executed the order and the person on whose behalf the order has been placed or executed;

(e) any other information and supporting documents which may be deemed relevant for the Financial Conduct Authority for the purposes of detecting, investigating and enforcing insider dealing, market manipulation and attempted insider dealing and market manipulation.