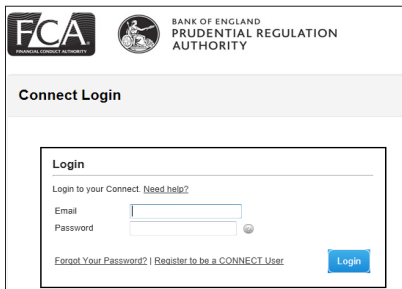


Guide to submitting a Suspicious Transaction & Order Report (STOR) using Connect

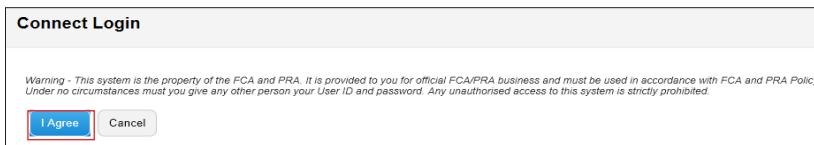
January 2018

Finding the STOR form on Connect

Log into Connect:

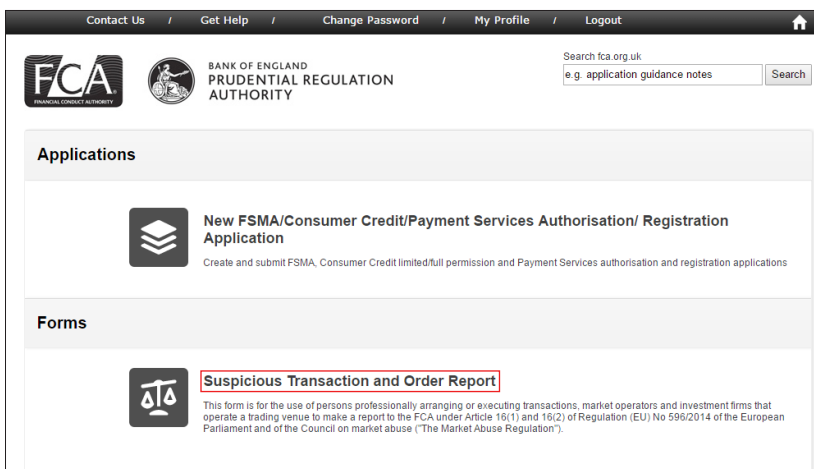


You will see the following message:



Click on **I Agree**.

On the homepage under Forms click on the **Suspicious Transaction and Order Report** link.



Creating a new form

Click the blue **Start New Form** button.

Contact Us / Get Help / Change Password / My Profile / Logout

Search fca.org.uk
e.g. application guidance notes Search

My Draft STOR Forms

User Name: aileen.o'neill@fca.org.uk Last Logged In: 04/02/2016 13:13:24 PM

Start New Form

page 1 of 1 (1 records total) << Previous Next >> Page Size 10

Action	Form Reference Number	Form Type	Firm Name	Financial Instrument	Status	Created Date
Edit Del	0001224213	STOR			Draft	04/02/2016 11:22

To create a new STOR, either:

- enter your Firm Reference number, or
- check the tick box if you don't have one

Click the **Access STOR Form** button.

Contact Us / Get Help / Change Password / My Profile / Logout

Search fca.org.uk
e.g. application guidance notes Search

Suspicious Transaction and Order Report

The system is for the use of persons professionally arranging or executing transactions, market operators and investment firms that operate a trading venue to make a report to the FCA under Article 16(1) and 16(2) of Regulation (EU) No 596/2014 of the European Parliament and of the Council on market abuse ("The Market Abuse Regulation"). Firms and other persons are to use this form when submitting a report. You should contact the FCA if you have difficulties with this.

Some fields are marked as compulsory. Where fields are not compulsory, you should endeavour to provide as much information as they have access to. Attachments can be added to this form. Where more appropriate, trading data can be attached to the form in a spreadsheet file rather than being completed within the form fields.

Your firm reference number Find Clear Search

I do not have a firm reference number

Cancel **Access STOR Form**

If you use your Firm Reference number, click:

1. the **Find** button to display your firm's name, then
2. the check box next to your firm's name, then
3. the **Access STOR form** button

The screenshot shows a search interface. At the top, there is a text input field containing '902187', a 'Find' button, and a 'Clear Search' button. Below this, a message reads 'I do not have a firm reference number' with a checkbox. A table below lists search results with columns for 'Organisation Name' and 'FRN'. One result is shown: 'STOR Test Organisation Number2187' with FRN '902187'. A checkbox next to this result is marked with a '2'. At the bottom of the table, there are 'Cancel' and 'Access STOR Form' buttons, with the latter marked with a '3'.

The STOR Form page will open. Connect will automatically generate a Form Reference Number – make a note of it. You will need this number if you contact us about your STOR.

The screenshot shows the 'STOR Form' page. At the top left is the FCA logo. At the top right is a search bar with the text 'Search fca.org.uk' and 'e.g. application guidance notes' and a 'Search' button. The main heading is 'STOR Form'. Below this, a box contains the following information: 'Firm Name: STOR Test Organisation Number2187', 'FRN : 902187', 'Version Number: 1', 'Form Reference Number: 0001227520', and 'Last Modified By: Aileen O'Neill - 26/05/2016 04:27:10 PM'. Below this box are 'Back to my forms' and 'Delete' buttons. At the bottom, there is a table with two columns: 'Form' and 'Form Status'. The 'Form' column contains 'STOR Form' and the 'Form Status' column contains 'Not Started'. The 'STOR Form' text in the table is highlighted with a red box.

Click on the **STOR Form** link in the form column to enter the form.

The form is split into 6 sections:

- Section 1 – Identity of Entity / Person submitting the STOR
- Section 2 – Transaction / Order
- Section 3 – Description of the nature of the suspicion
- Section 4 – Identity of Entity / Person suspected
- Section 5 – Additional Information
- Section 6 – Documentation Attached

You can complete these sections in any order, and move back and forth through the form.

The **Progress** panel on the left of each page within the form shows the status of each section:

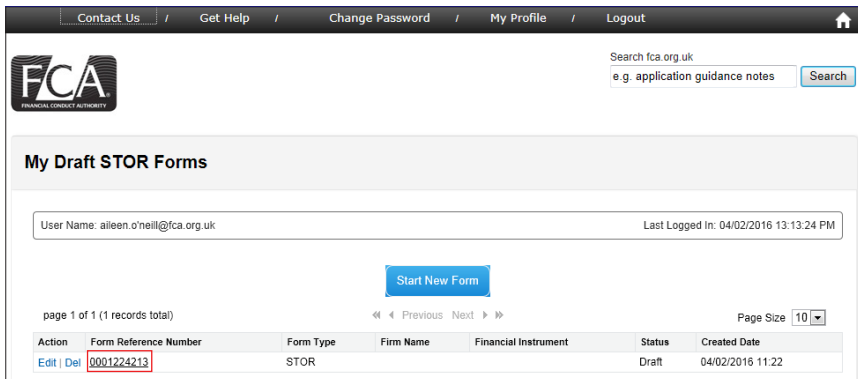
Some fields within the form are mandatory – you can't submit the form if you've not completed these boxes. They are shown by a red line within the field:

Describe the financial instrument subject to the STOR specifying:

Full name or description of the financial instrument

Returning to a partially completed form

Connect will automatically save a partially completed form. To return to your form and continue, click on the number under Form Reference Number:



The screenshot shows the 'My Draft STOR Forms' page in the FCA Connect system. At the top, there are navigation links: Contact Us, Get Help, Change Password, My Profile, and Logout. The FCA logo is on the left, and a search bar is on the right. Below the header, the user's name and last login time are displayed. A 'Start New Form' button is centered. Below that, a table lists draft forms. The first and only record is highlighted, with its 'Form Reference Number' (0001224213) enclosed in a red box.

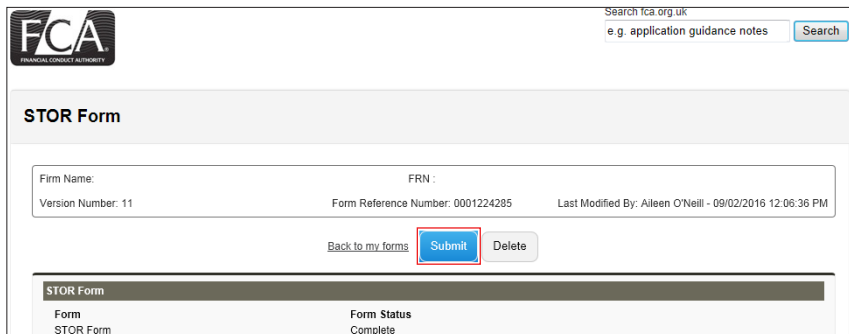
Action	Form Reference Number	Form Type	Firm Name	Financial Instrument	Status	Created Date
Edit Del	0001224213	STOR			Draft	04/02/2016 11:22

Note that Connect will only save your form for two weeks from the date of creation – after this it will be deleted. You will be prompted twice by email that your draft is about to be deleted.

Submitting your STOR

When your form is complete and all sections in the Progress panel have a green tick, click the blue **Continue** button.

You will be taken to the final page of the form where you will find the Submit button.



The screenshot shows the FCA website interface for submitting a Suspicious Transaction & Order Report (STOR). At the top left is the FCA logo. At the top right is a search bar with the text "Search fca.org.uk" and "e.g. application guidance notes" and a "Search" button. Below this is the "STOR Form" header. The main content area contains a form with the following fields: "Firm Name:", "FRN:", "Version Number: 11", "Form Reference Number: 0001224285", and "Last Modified By: Aileen O'Neill - 09/02/2016 12:06:36 PM". Below these fields are three buttons: "Back to my forms", "Submit" (highlighted with a red box), and "Delete". At the bottom of the form is a table with two columns: "Form" and "Form Status". The table contains one row with "STOR Form" in the "Form" column and "Complete" in the "Form Status" column.

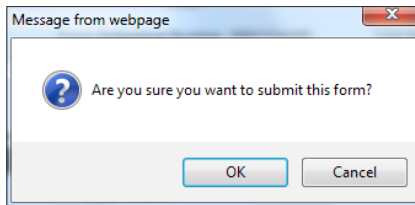
Note that before you click **Submit** you can return to the STOR by clicking on the **STOR Form** link in the form column. However, after you click **Submit** you will not be able to return to the form.

To submit your form, click **Submit**:



A close-up of the "Submit" button from the screenshot above. The button is blue with white text and is highlighted with a red box. It is flanked by "Back to my forms" and "Delete" buttons.

A prompt will appear:



A confirmation dialog box titled "Message from webpage" with a close button (X) in the top right corner. The dialog contains a question mark icon and the text "Are you sure you want to submit this form?". At the bottom of the dialog are two buttons: "OK" and "Cancel".

Click **OK**. You will be taken to a thank you page confirming that your form has been submitted.

Printing and replicating your STOR

You can print a copy of your STOR or save a copy as a PDF to keep at any time – you do not need to wait until you have submitted your form.

Printing your form before submission

Click the **Print** button at the top and bottom of each page:



Printing your form after submission

On the thank you page after you submit your form you can save or print your form by clicking on the print icon. If you navigate away from this page, you will not be able to return to your form to print or save it at a later date.

Thank you for your submission

Firm Name:	FRN:	
Version Number: 8	Form Reference Number: 0001228203	Last Modified By: Aileen O'Neill - 16/06/2016 01:03:16 PM

Thank you for contacting the FCA regarding your concerns about potential market abuse. Your STOR will be reviewed by the Market Monitoring department and we will consider the issues that you have raised. We will review the information you have provided very carefully with a view to determining whether it is appropriate to exercise any of our statutory powers in respect of market abuse. No other confirmation of receipt will be provided.

As you will appreciate, we operate under strict confidentiality restrictions and it may not be possible to update you on any work that might be undertaken or communicate our decision to you. If we require any further information, we will contact you.

For further information regarding the FCA's market abuse regime, please consult our webpage at <https://www.the-fca.org.uk/markets/market-abuse/regulation>.

You are reminded of the following obligations following submission of a STOR:

- Under MIFID to secure all relevant documents and records, including e-mails, Bloomberg messages and any messages on any instant messaging system and under COBS 11.8.10 to secure tapes of telephone conversations for a minimum six month period.
- Under MAR you are required to maintain the confidentiality of any STOR submitted to the FCA.
- Under MAR you are required to maintain a record of every STOR submitted to the FCA for a period of five years.

To assist you in meeting your record keeping obligations, a pdf copy of this STOR may be downloaded here. Please note that for security reasons this will not be accessible once this window is closed.

To assist you in submitting multiple STORs in relation to similar activity performed by different clients, the replicate STOR function may be used. This will create a new draft STOR based on the STOR you have just submitted. Some data will be copied across to the new STOR except the specific transaction details (section two) and all data in sections four, five and six. The new form will be created in your draft STORs and will not be automatically submitted to the FCA.

Replicate STOR

Done

Replicating your STOR


On the thank you page after you submit your form you can replicate it by clicking on the **Replicate STOR** link.

This will copy some of the input from your submitted form into a new STOR. You may find this option helpful if you submit multiple STORs on the same event, but with different underlying clients.

Selecting this option will automatically create a new draft STOR with a new unique Form Reference number.

Thank you for your submission

Firm Name:	FRN :
Version Number: 15	Form Reference Number: 0001224285

 New draft STOR form created: 0001224290

Click **Done** to finish and return to the homepage. Your replicated form will be available on the homepage as a draft.

My Draft STOR Forms

User Name: aileen.o'neill@fca.org.uk Last Logged In: 08/02/2016 15:01:30 PM

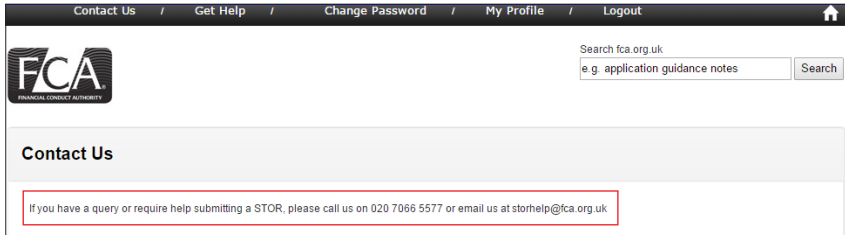
[Start New Form](#)

page 1 of 1 (1 records total) << Previous Next >> Page Size 10

Action	Form Reference Number	Form Type	Firm Name	Financial Instrument	Status	Created Date
Edit Del	0001224290	STOR		financial instrument description	Draft	09/02/2016 12:37

Contacting Us

If you need help to prepare or submit your STOR click on **Contact Us**. (The link is in the black bar at the top of all pages in Connect.)



(Don't use **Get Help** – this link provides help for Applications, but not Forms.)

To return to the STOR page from the Contact Us page:

click the back button on your internet browser , or

click the Home icon in the black bar at the top of all Connect pages, and then click on the **Suspicious Transaction and Order Report** link

