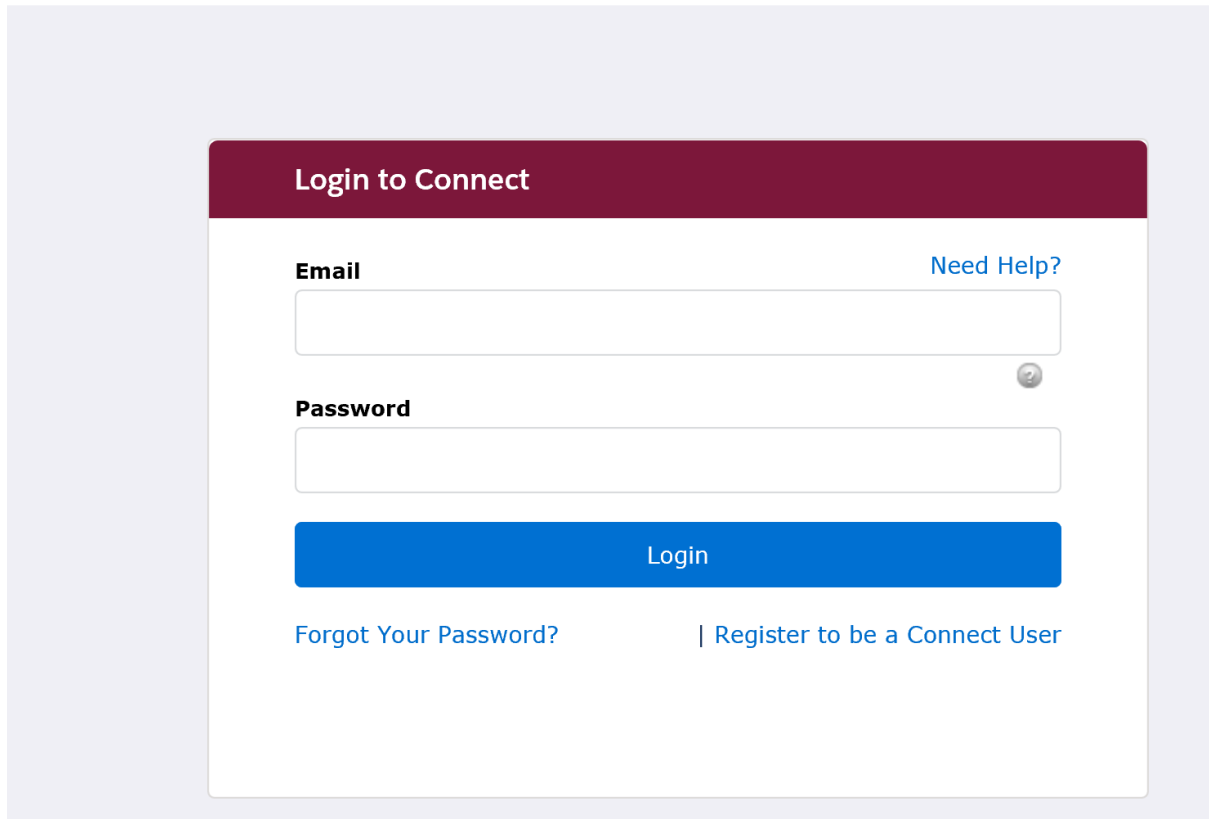


Guide to submitting a Suspicious Transaction & Order Report (STOR) using Connect

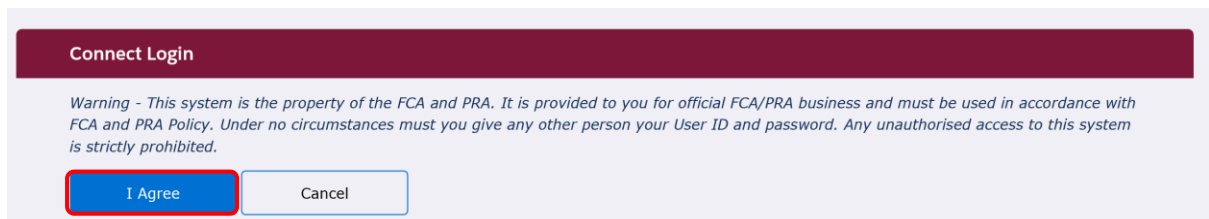
October 2019

FINDING THE STOR FORM ON CONNECT

Log into [Connect](#):

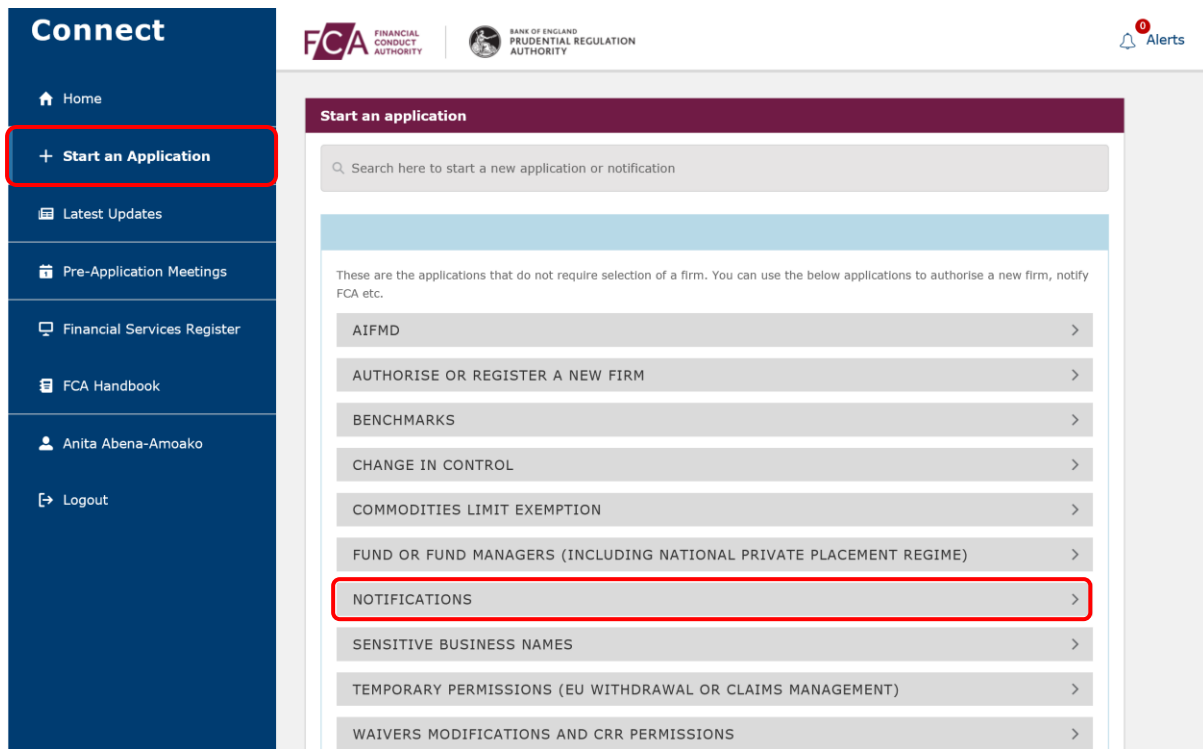
A screenshot of the 'Login to Connect' form. The form has a dark red header with the text 'Login to Connect'. Below the header, there are two input fields: 'Email' and 'Password'. The 'Email' field has a 'Need Help?' link to its right. The 'Password' field has a small circular icon to its right. Below the input fields is a blue 'Login' button. At the bottom of the form, there are two links: 'Forgot Your Password?' and '| Register to be a Connect User'.

You will see the following message:

A screenshot of the 'Connect Login' warning message. The message is displayed in a dark red box with the text 'Connect Login' at the top. Below the header, there is a warning message: 'Warning - This system is the property of the FCA and PRA. It is provided to you for official FCA/PRA business and must be used in accordance with FCA and PRA Policy. Under no circumstances must you give any other person your User ID and password. Any unauthorised access to this system is strictly prohibited.' At the bottom of the message, there are two buttons: 'I Agree' and 'Cancel'. The 'I Agree' button is highlighted with a red border.

Click on **I Agree**.

On the homepage, under Connect, click on the **Start an Application** link, followed by the **Notifications** drop down link.



Under the **Notifications** drop down, you will find the **Suspicious Transaction and Order Report (STOR)**. Please click the **Show more** link, where you will click the button to **Start Application**

NOTIFICATIONS

Suspicious Transaction and Order Report (STOR)

This form 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").

Suspicious Transaction and Order Report (STOR)

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 you 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.

[Start Application](#)

[Show less...](#)

CREATING A NEW FORM

To create a new STOR, either:

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

Click the blue **Access STOR Form** button.

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

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

FCA FINANCIAL CONDUCT AUTHORITY

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

Your firm reference number Find Clear Search

I do not have a firm reference number

Cancel Access STOR Form

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.

STOR Form

Firm Name:	FRN :	
Version Number: 1	Form Reference Number: 0002103116	Last Modified By:

[Back to my forms](#)

Delete

STOR Form	
Form	Form Status
STOR Form	Not Started

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:

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

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

Suspicious Transaction and Order Report

Firm Name: FRN :
Version Number: 1 Form Reference Number: 0002103098 Last Modified By:

Progress

Current Step ⚠

Section 2 ⚠

Section 3 ⚠

Section 4 ⚠

Section 5 ✓

Section 6 ✓

Legend

- ⚠ This field is required
- 🔍 Click the icon for help on the item
- ✓ The page has been validated successfully
- ⚠ The page is incomplete

Back Save & Exit Continue Print

Section 1 - Identity of Entity / Person submitting the STOR

Persons professionally arranging or executing transactions / Market operators and investment firms that operate a trading venue – Specify in each case:

Name of natural person	<p>Firstname(s) Surname(s) of the natural person responsible for submitting the STOR</p> <input type="text"/>
Position within the reporting entity	<p>Position of the natural person responsible for submitting the STOR within the reporting entity</p> <input type="text"/>
Name of the reporting entity	<p>Full name of the reporting entity including, for legal persons, the legal form as provided for in the register where is it incorporated</p> <input type="text"/> <p>The Legal Entity Identifier (LEI) code in accordance with ISO 17442 LEI Code when applicable</p> <input type="text"/>
Address of the reporting entity	<p>Full address:</p> <p>Street and Number</p> <input type="text"/>

Some fields within the form are mandatory – you can't submit the form if you haven't completed these boxes. These fields are shown by a red line at the start of the box:

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 Application Number:

The screenshot shows the 'My Applications' interface. At the top, there is a dark purple header with the text 'My Applications'. Below this, there are two filters: 'Filter by Application' and 'Filter by Status', both set to 'All'. To the right of the filters, there is a 'Show' dropdown set to '10' and a search box containing 'Search in 3 records'. Below the filters, there is an information icon and a note: 'To view the individual applicant's name, click the Application Filter above and select Approved Person'. The main content is a table with the following columns: 'Application Number', 'Application', 'Type', 'Submitted Date', and 'Status'. The first row has the application number '0002103098' highlighted with a red box. The second row has '0002103116' and the third row has '0002103129'. At the bottom right of the table, there are 'Prev', '1', and 'Next' buttons.

Application Number	Application	Type	Submitted Date	Status
0002103098	STOR			Draft
0002103116	STOR			Draft
0002103129	STOR			Draft

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.

STOR Form

Firm Name:	FRN :	
Version Number: 16	Form Reference Number: 0002103098	Last Modified By:

[Back to my forms](#)

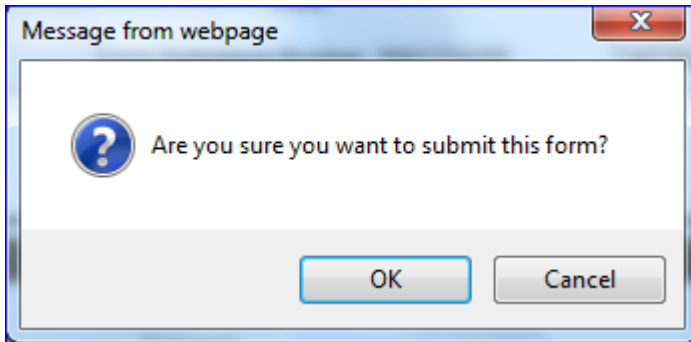
STOR Form	
Form STOR Form	Form Status Complete

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**:

[Back to my forms](#)

A prompt will appear:



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

Submitting your form will bring up a thank you page. On the thank you page 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 to save it later.

Thank you for your submission

Firm Name:	FRN :	
Version Number: 8	Form Reference Number: 0001228203	Last Modified By:


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

You can also replicate your form when the thank you page comes up 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

i 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 Applications

Show 10 Search in 3 records

Filter by Application: All Filter by Status: All

i To view the individual applicant's name, click the Application Filter above and select Approved Person

Application Number	Application	Type	Submitted Date	Status
0002103098	STOR			Draft
0002103116	STOR			Draft
0002103129	STOR			Draft

Prev 1 Next

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.)

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




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

Contact Us

If you have a query or require help submitting a STOR, please call us on 020 7066 5577 or email us at storhelp@fca.org.uk

(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:

1. click the back button on your internet browser  , or
2. click the FCA icon at the top of all Connect pages, and then click on the **Application Number** link

