



AFM Transaction Reporting incident form for EMIR and SFTR

This form should be submitted by a legal entity notifying the Netherlands Authority for the Financial Markets (AFM) as relevant competent authority of any issue in their transaction reporting.

* Required

1. Date of notification *

dd-mm-yyyy

2. Internal Reference Number *

(I) Assign your own reference number or code.

(II) When you give an update on the initial notification quote the reference number that you assigned to the original notification.

3. Is this submission an update to a previously submitted form? *

(I) If this is a new incident, please submit as much information as possible that is available to you.

(II) For updates to existing incidents, only complete these fields that contain new or updated information.

Yes

No

4. Regulation impacted *

Please tick the applicable reporting regulations. If multiple regulations are impacted then you may tick several boxes.

EMIR transaction reporting

SFTR transaction reporting

5. Legal name of reporting counterparty *

Identify the counterparty/entity required to report

6. LEI of Reporting Counterparty *

Legal Entity Identifier code in accordance with ISO 17442

7. Legal name of Submitting Entity

Identify the entity submitting the transaction report

8. LEI of Report Submitting Entity

Legal Entity Identifier code in accordance with ISO 17442

9. Legal name of Entity Responsible for the Report

10. LEI of Entity Responsible for the Report

11. Contact's name *

12. Contact's position *

13. Telephone number *

14. Email *

15. Total number of transactions impacted by the issue
Specify for each Action Type

16. Describe the root cause(s) of the issue

Provide comprehensive details about the background of the issue

17. Period during which the issue occurred

Please specify the relevant date(s) and the time interval over which the issue occurred

18. How was the issue discovered?

19. Detail the actions taken so far to remediate and the actions that remain outstanding

20. Total number of transactions impacted to be back-reported and expected completion date

If known- if not known please report an estimate of volumes; and also the date by which you expect to be able to provide this information.

21. Please detail any plans to improve on-going monitoring and governance in relation to this issue

22. Please share any other information which may be relevant to this issue

Please fill in this incident report completely and accurately. Depend on the type of incident, please email the report to either EMIR_DQ@afm.nl (for EMIR issues) or SFTR@afm.nl (for SFTR issues). This incident report can be securely sent via the program Cryptshare: <https://www.afm.nl/en/contact/veilig-bestanden-uitwisselen>. On this web page, you can also find a manual for using Cryptshare.
