

Annex A.

Template 1

Submission of information by a regulator to ECRB on the suspected breach in the Contracting Party pursuant to Article 4(1) of ECRB Procedural Act 01/2020

A. General information

No.	Title	Information to be provided
1	Contracting Party	
2	Reporting regulator	
3	Person(s) representing the regulator in relation to this report and their contact details (phone and email)	
4	Submission date to the ECRB Section:	
5	Email address of the ECRB Section for submission of the report	[to be provided by the ECRB Section]
6	Other information (if necessary)	

B. Information about the suspected breach

No.	Title	Information to be provided
1	Commodity: -Electricity and/or gas wholesale market	
2	Contracting Party where the suspected breach occurred	
3	Category or suspected breach of the REMIT Regulation: -Insider Trading (Art 3) -Market Manipulation (Art 5)	
4	Provide a summary of the suspected breach (a more detailed description to be provided in part C below)	
5	Date (and time if applicable) when the suspected breach occurred (or when it started)	
6	How did the regulator learn about the suspected breach	

7	Market participant(s) involved in the suspected breach	
8	Is there an investigation ongoing by the reporting regulator related to this breach (in case the breach occurred in the jurisdiction of the reporting regulator)	
9	What is the view of the reporting regulator on the general impact on the market	
10	Which Contracting Parties may the suspected breach affect (or has affected)	
11	What is the recommendation of the reporting regulator to ECRB related to suspected breach	
12	Does this report (or any annex) include any confidential and commercially sensitive information (if “yes” please highlight which of the information provided are confidential or commercially sensitive). Provide an indication as to why such information constitutes confidential or commercially sensitive information.	
13	Please provide list of annexes/files attached this this report	

C. Provide more detailed information about the suspected breach

[...]

[if necessary please provide annexes, excel spreadsheets, etc. so support the case]

Template 2

Reporting potential breaches of the REMIT Regulation to regulators and/or ECRB pursuant to Article 7 of ECB Procedural Act 01/2020

Background: any legal or physical persons may report suspicious behavior in the wholesale electricity and gas markets and any potential breaches of the REMIT Regulation to the National Regulatory Authority and/or the Energy Community Regulatory Board (ECRB) using this form.

The form should be published by each regulator of the Contracting Parties.

A. General information

No.	Title	Information to be provided
1	Reporting party: -market participant -PPAT -other competent authority -other	[name of the person/firm/authority and address]
2	Person(s) representing the reporting party in relation to this report and their contact details (phone and email)	
3	Email address of the NRA for submission of the report	[form published by ECRB will contain a link to all NRA webpages – specifically to the form published by NRA]
4	Email address of the ECRB Unit for submission of the report	[to be provided by ECRB in case the reporting party wants to submit it to ECRB as well]
5	Submission date	
6	Other information (if necessary)	

B. Information about the suspected breach

No.	Title	Information to be provided
1	Commodity: -Electricity and/or gas wholesale market	
2	Contracting Party where the suspected breach occurred	
3	Category or REMIT suspected breach: -Insider Trading (Art 3) -Disclosure of inside information obligation (Art 4) -Market Manipulation (Art 5) PPAT -Registration obligation (Art 9) -PPAT obligation (Art 15)	
4	Provide a summary of the suspected breach (a more detailed description to be provided in part C below)	
5	Date (and time if applicable) when the suspected breach occurred (or when it started)	

6	How did the reporting party learn about the suspected breach	
7	Market participant(s) involved in the suspected breach	
8	Are you aware of an investigation ongoing by any of the NRAs related to this breach	
9	What is the view of the reporting party on the general impact on the market (more details may be provided in part C below)	
10	Which other Contracting Parties may the suspected breach affect (or has affected)	
11	Does this report (or any annex) include any confidential and commercially sensitive information (if "yes" please highlight which of the information provided are confidential or commercially sensitive). Provide an indication as to why such information constitutes confidential or commercially sensitive information.	
13	Please provide list of annexes/files attached this this report	

C. Provide more detailed information about the suspected breach

[...]

[if necessary please provide annexes, excel spreadsheets, etc. so support the case]

Template 3

Reporting to NRA delayed publication of inside information pursuant to Article 8(2) of ECRB Procedural Act
01/2020

Background: under Article 4(2) of the REMIT Regulation a market participant “may under its own responsibility exceptionally delay the public disclosure of inside information so as not to prejudice its legitimate interests provided that such omission is not likely to mislead the public and provided that the market participant is able to ensure the confidentiality of that information and does not make decisions relating to trading in wholesale energy products based upon that information. In such a situation the market participant shall without delay provide that information, together with a justification for the delay of the public disclosure, to the relevant national regulatory authority.”
The following form should be used by market participants submitting such information to regulators. The form should be published by each regulator of the Contracting Parties.

A. General information

No.	Title	Information to be provided
1	Name and address of reporting market participant	
2	Person(s) representing the reporting party in relation to this report and their contact details (phone and email)	
3	Type of market participant: -electricity or gas producer -operator of electricity or gas infrastructure -other [provide a description]	
4	Email address of the NRA for submission of the report	[to be provided by the regulator]
5	Submission date	
6	Other information (if necessary)	

B. Information on the inside information concerned

No.	Title	Information to be provided
1	Name of the facility	
2	Installed capacity of the facility	
3	Unavailable capacity	
4	Dates, including hours, of the unplanned outage (from-to)	
5	Expected time of public disclosure	
6	Address/link where the information will be disclosed	
7	Other details	

C. Justification for delayed publication

[...]

Additional information may be requested by the regulator.

Template 4
Registration with Regulators

Note: this template is to be used for the purpose of registration of market participants according to Article 9(2) ECRB PA 01/2020 with the regulators and has **no publication purpose**. A reduced content of Template 6 is listed in Template 7 ECRB PA 01/2020 for publication purposes of a national register pursuant to Article 9(3) ECRB PA 01/2020.

Registration A1:B40	
Country	User Form
Info to be completed by market participant	
Date of Submission	
Company Registration Info	
Company Legal Name	
Legal form	
Company Address (Headquarter)	
Company City	
City ZIP Code	
Country	
Company EIC code	
Company BIC code	
Company LEI code	
Company VAT Number	
Company Website	
Are you a company employee?	
Company ownership Info	
Director Name	
Director Surname	
Director E-mail	
Director Telephone	
Ultimate controller	
Inside Information Disclosure	
Webpage where inside information are disclosed: 1	
Webpage where inside information are disclosed: 2 (if any)	
Webpage where inside information are disclosed: 3 (if any)	
Contacts of Reference Person for registration issues	
Name of reference person for registration issues	
Surname of reference person for registration issues	
Email of reference person for registration issues	
Phone Number of reference person for registration issues	
Contacts of Reference Person for legal issues	
Name of reference person for legal issues	
Surname of reference person for legal issues	
Email of reference person for legal issues	
Phone Number of reference person for legal issues	
Contacts of Reference Person for commercial issues	
Name of reference person for commercial issues	
Surname of reference person for commercial issues	
Email of reference person for commercial issues	
Phone Number of reference person for commercial issues	
Contacts of Reference Person for other issues	
Name of reference person for general issues	
Surname of reference person for general issues	
Email of reference person for general issues	
Phone Number of reference person for general issues	

Template 5

Public National Registry

Note: this template is to be used for the purpose of establishing a publically available national registry of market participants according to Article 9(3) ECRB PA 01/2020.

Registration Authority	
Country	
User Form	Info to be completed by market participant
Date of Submission	
Company Registration Info	
ECRB registration code	
Company Legal Name	
Legal form	
Company Address (Headquarter)	
Company City	
City ZIP Code	
Country	
Company EIC code	
Company BIC code	
Company LEI code	
Company VAT Number	
Company Website	
Inside Information Disclosure	
Webpage where inside information are disclosed: 1	
Webpage where inside information are disclosed: 2 (if any)	
Webpage where inside information are disclosed: 3 (if any)	

Template 6

Generating the ECRB code as unique identifier market participants pursuant to Article 8(4) of ECRB Procedural Act 01/2020

Background: Article 9 of the REMIT Regulation obliges market participants '...entering into transactions with wholesale energy products or expressing interest to enter into such transactions through orders to trade <...> shall register with the national regulatory authority in the Contracting Party where the delivery of the wholesale energy products takes or will take place...'

Further, Article 9(2) *leg cit* states: '... national regulatory authorities shall establish national registers of market participants which they shall keep up to date. The register shall give each market participant a unique identifier...'

Generating the ECRB code

1. Regulators should use the following formula to generate the ECRB code as unique identifier of the registered market participants, harmonised across Contracting Parties.
2. The ECRB code should consist of 20 characters generated under the following logic:
 - a. Characters 1 to 4 should always read: 'ECRB'
 - b. Characters 5 and 8 should always read: '-'
 - c. Characters 6 and 7 should read the alphabetic identifier of the Contracting Party, for example for Albania it should read: 'AL'
 - d. Characters 9 to 16 should read the date of submission of completed registration form, starting with 4 characters reserved for the year (YYYY), 2 characters for the month (MM) and 2 reserved for the day (DD); for example: '20200212'
 - e. Character 17 should always read: '-'
 - f. Characters 18 to 20 should be numbering order of the market participants that submitted the registration form on the same day to the same NRA, for example: '001' for the first submitted form on that day, and '017' for the 17th participant registered that day.

Example:

Two market participants (A and B) submitted the registration form to ERE (Albanian NRA) on the 12.02.2020.

ECRB code of market participant A: ECRB-AL-20200212-001

E	C	R	B	-	A	L	-	2	0	2	0	0	2	1	2	-	0	0	1
1			4		6	7		9							16		18		20

ECRB code of market participant B: ECRB-AL-20200212-002

E	C	R	B	-	A	L	-	2	0	2	0	0	2	1	2	-	0	0	2
1			4		6	7		9							16		18		20