*Unofficial translation*

**Regulation No 60 of the Financial and Capital Market Commission**  
  
Riga, 17 April 2018   
  
 (Meeting of the Board of the Financial and Capital Market Commission Minutes no 19, paragraph 2)

**Regulations on the Procedure for Reporting Transactions in** **Financial Instruments**

*Issued in accordance with Section* [*1372 (3), 2) of the of Law on the Financial Instruments Market,*](https://likumi.lv/ta/id/81995-finansu-instrumentu-tirgus-likums#p137.2) *and  Section* [*7 (1) 1) of the Law on the Financial and Capital Market Commission*](https://likumi.lv/ta/id/8172-finansu-un-kapitala-tirgus-komisijas-likums#p7)  *(in wording of the FCMC Regulation No 142 of* [*28 August 2018*](https://likumi.lv/ta/id/301366-grozijums-normativajos-noteikumos-par-kartibu-kada-zinojama-informacija-par-darijumiem-ar-finansu-instrumentiem-)*)*

1. "Regulations on the Procedure for Reporting Transactions in Financial Instruments"

(hereinafter – the Regulations) determine the procedure for reporting transactions in financial instruments to the Financial and Capital Market Commission.

2. The Regulations shall be binding on the financial instruments market participants (hereinafter – the market participant) that report transactions in financial instruments pursuant to Article 26 of Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012.

3. The terms in the Regulations are used in accordance with the use of the terms in the Law on the [Financial Instruments Market](https://likumi.lv/ta/id/81995-finansu-instrumentu-tirgus-likums).

4. The market participant shall report transactions in financial instruments in accordance with requirements of the directly applicable European Union legal acts as follows:

4.1. Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (Title IV) laying down a list of transactions subject to the reporting obligation and time-limits for reporting;

4.2. Commission Delegated Regulation (EU) 2017/590 of 28 July 2016 supplementing Regulation (EU) No 600/2014 of the European Parliament and of the Council with regard to regulatory technical standards for the reporting of transactions to competent authorities, laying down the content and format of information to be reported.

5. The market participant shall submit information on transactions in financial instruments by electronic means using the Data Reporting Portal (hereinafter – DRP), address: https://dati.fktk.lv.

6. Detailed procedure for submission of information on transactions in financial instruments is determined in the DRP instruction manual available in the DRP.

7. Registration of DRP users, correction of information on the DRP users and cancellation of user rights shall be performed pursuant to the procedures laid down in the Financial and Capital Market Commission Regulation No 146 of 14 October 2008 "Regulations on Electronic Reporting".

8. Upon the entering into force of this Regulation, the Financial and Capital Market Commission Regulation No 95 of 28 April 2012 "Regulations on the Procedure for Reporting Transactions in Financial Instruments"shall become null and void.

Chairman of the Financial and Capital Market Commission P. Putniņš