



AUTORITÉ
DES MARCHÉS FINANCIERS

Print from the website of the AMF

21 July 2020

Summary of SPOT inspections on recording telephone conversations and electronic communications and on retaining those recordings

As announced in the AMF's supervision priorities for 2019, a series of short thematic "SPOT" inspections relating to recording telephone conversations and electronic communications and retaining them was carried out. The inspections were conducted under the provisions of Directive 2014/65/EU of 15 May 2014 on markets in financial instruments ("MiFID 2"), supplemented by Commission Delegated Regulation (EU) 2017/565 of 25 April 2016. The SPOT inspections involved a sample of five investment services providers ("ISPs").

 Download content

Keywords

FINANCIAL SERVICES PROVIDERS

ON THE SAME TOPIC



Subscribe to our alerts and RSS feeds

RETAIL INVESTORS DASHBOARD

SHARES

19 April 2022

The Active Retail
Investor Dashboard -
No.6 - April 2022



SPOT INSPECTIONS

FINANCIAL SERVICES PROVIDERS

13 April 2022

Summary of SPOT
inspections on bond
post-trade
transparency



AMF'S EU POSITIONS

EUROPE & INTERNATIONAL

03 February 2022

AMF's response to the
European Commission
targeted consultation
"Listing Act"



Legal information:

Head of publications: The Executive Director of AMF Communication Directorate. Contact:
Communication Directorate – Autorité des marchés financiers 17 place de la Bourse – 75082 Paris
cedex 02