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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").

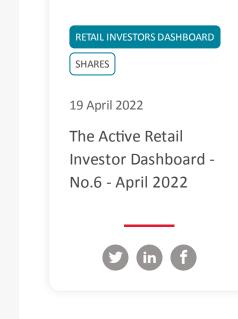


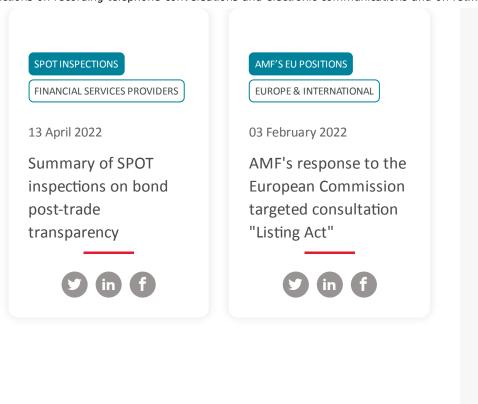
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