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MAR · MARKET ABUSE

Market Abuse and Personal Transactions (MAR)

5 chapters

MAR framework, personal transactions, rules of conduct and practical cases of market abuse

5 CHAPTERS

Training programme

1 General framework of the MAR regime

1.1 Objectives
- Market integrity
- Risk prevention

1.2 Scope of application
- Persons concerned
- Financial instruments

2 Personal transactions: rules and procedures

2.1 General principles
- Transparency
- Conflicts of interest

2.2 Prior authorisation
- Transactions subject to approval
- Role of Compliance

2.3 Disclosure obligations
- Deadlines
- Regulatory disclosures

2.4 Monitoring and controls
- Record-keeping
- Traceability

2.5 Sensitive periods
- Closed / blackout periods
- Trading restrictions

3 Prevention of market abuse: rules of conduct

3.1 Information and transparency
- Prior information
- Specific approvals

3.2 Inside information
- Definition
- Prohibition of use

3.3 Separation of activities
- Professional activities
- Personal activities

3.4 Role of Compliance
- Guidance
- Support

4 Market abuse under MAR: practical cases

- 4.1 Insider dealing
- 4.2 Unlawful disclosure of inside information
- 4.3 Market manipulation through information dissemination
- 4.4 Price manipulation (spoofing / layering)

5 Conclusion

KEY TAKEAWAYS

Transparency, prior authorisation and vigilance against market abuse.