

# MFSA

MALTA FINANCIAL SERVICES AUTHORITY

## **An Update on the Insider Lists**

On the 3<sup>rd</sup> July, 2016, the Market Abuse Regulation, together with the relevant ESMA Technical Standards, came into force. This means that the Insider List shall now be prepared in accordance with these ESMA Technical Standards, which Technical Standards provide for the format that shall be used. They provide for two lists that shall be drawn up and filled by the Issuer or by any person acting on their behalf or on their account. These Technical Standards provide for a Temporary List and Permanent List. The only difference between these two forms is that whereas the temporary list also provides for the dates and time from when the person obtained access to inside information until when this person has such access, this information is not necessary under the Permanent List, but the Permanent List only requests the date and time at which a person becomes privy to inside information.

### **Please note that now, the Insider Lists should include the following fields:**

1. First Name of the Insider
2. Surname of the Insider
3. Birth Surname of the Insider (if different)
4. Professional Telephone Number(s) (direct telephone number and mobile number)
5. Company name and address
6. Function and reason for being an insider
7. Date of Birth
8. National Identification Number
9. Personal telephone numbers (home and mobile telephone numbers)
10. Personal full address

These Technical Standards can be accessed via the following link <[https://www.esma.europa.eu/sites/default/files/library/2015/11/2015-esma-1455\\_-\\_final\\_report\\_mar\\_ts.pdf](https://www.esma.europa.eu/sites/default/files/library/2015/11/2015-esma-1455_-_final_report_mar_ts.pdf)> and can also be accessed via this link <<http://www.mfsa.com.mt/pages/viewcontent.aspx?id=486>>

The templates of the Temporary List and the Permanent List can be found in Annex 1, templates 1 and 2 of the Technical Standards, a copy of which is being attached to this circular.

Should you have any queries, please do not hesitate to contact: Dr Ilona Schembri, Analyst, Securities and Markets Supervision Unit ([ischembri@mfsa.com.mt](mailto:ischembri@mfsa.com.mt)) or Mr John Farrugia, Analyst, Securities and Markets Supervision Unit ([jjfarrugia@mfsa.com.mt](mailto:jjfarrugia@mfsa.com.mt)).

**Communications Unit**  
**Malta Financial Services Authority**  
**1<sup>st</sup> September, 2016**

## ANNEX I

## Template 1

**Insider list: section related to [Name of the deal-specific or event-based inside information]**

**Date and time (of creation of this section of the insider list, i.e. when this inside information was identified): [yyyy-mm-dd; hh:mm UTC (Coordinated Universal Time)]**

**Date and time (last update): [yyyy-mm-dd, hh:mm UTC (Coordinated Universal Time)]**

**Date of transmission to the competent authority: [yyyy-mm-dd]**

First name(s) of the insider	Surname(s) of the insider	Birth surname(s) of the insider (if different)	Professional telephone number(s) (work direct telephone line and work mobile numbers)	Company name and address	Function and reason for being insider	Obtained (the date and time at which a person obtained access to inside information)	Ceased (the date and time at which a person ceased to have access to inside information)	Date of birth	National Identification Number (if applicable)	Personal telephone numbers (home and personal mobile telephone numbers)	Personal full address: (street name; street number; city; post/zip code; country)
[Text]	[Text]	[Text]	[Numbers (no space)]	[Address of issuer/emission allowance market participant /auction platform/auctioneer/auction monitor or third party of insider]	[Text describing role, function and reason for being on this list]	[yyyy-mm-dd, hh:mm UTC]	[yyyy-mm-dd, hh:mm UTC]	[yyyy-mm-dd]	[Number and/or text]	[Numbers (no space)]	[Text: detailed personal address of the insider - Street name and street number - City - Post/zip code - Country]

## Template 2

### Permanent insiders section of the insider list

**Date and time (of creation of the permanent insiders section)** [yyyy-mm-dd, hh:mm UTC (*Coordinated Universal Time*)]

**Date and time (last update):** [yyyy-mm-dd, hh:mm UTC (*Coordinated Universal Time*)]

**Date of transmission to the competent authority:** [yyyy-mm-dd]

First name(s) of the insider	Surname(s) of the insider	Birth surname(s) of the insider (if different)	Professional telephone number(s) (work direct telephone line and work mobile numbers)	Company name and address	Function and reason for being insider	Included (the date and time at which a person was included in the permanent insider section)	Date of birth	National Identification Number (if applicable)	Personal telephone numbers (home and personal mobile telephone numbers)	Personal full address (street name; street number; city; post/zip code; country)
[Text]	[Text]	[Text]	[Numbers (no space)]	[Address of issuer/emission allowance market participant/auction platform/auctioneer/auction monitor or third party of insider]	[Text describing role, function and reason for being on this list]	[yyyy-mm-dd, hh:mm UTC]	[yyyy-mm-dd]	[Number and/or text]	[Numbers (no space)]	[Text: detailed personal address of the insider - Street name and number - City - Post/zip code - Country]