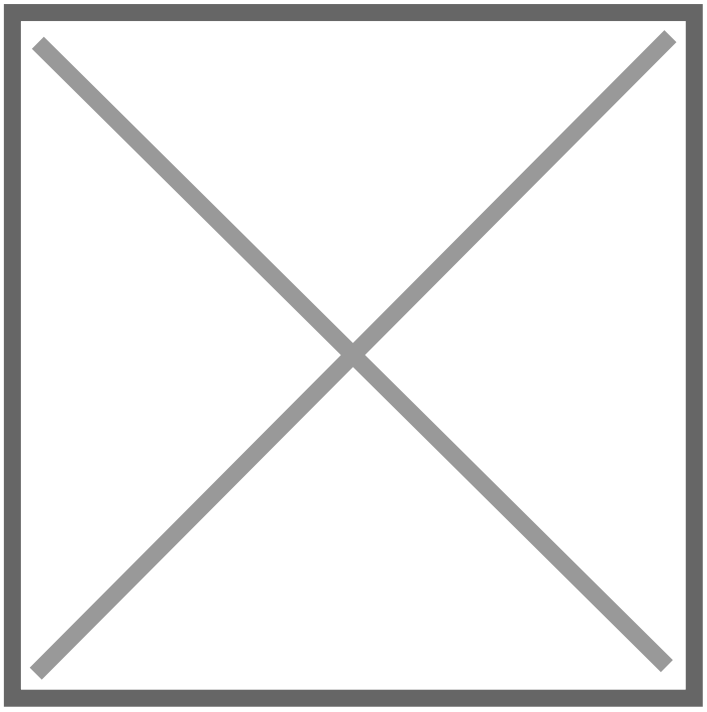


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Additional Information

Level 1 Regulation
Short Selling Regulation (SSR) Regulation (EU) No 236/2012
Topic
Uncovered short sales
Subject Matter
Telephone call registrations as adequate durable medium for retaining evidence
Question
Can telephone call registrations be considered as a durable medium for the purpose of evidencing the existence of an agreement to borrow or other enforceable claim under Article 5 of the ITS, or of arrangements, confirmations and instructions under Article 6 and 7 of the ITS (Commission Implementing Regulation EU No 827/2012)?
ESMA Answer
29-01-2013

Original language

[ESMA70-145-408 SSR Q&A, Q&A 10.3]

Telephone call registrations are considered an adequate durable medium under Article 5, 6 or 7 of the ITS.