

# MARKET MANIPULATION SEMINAR

26th March 2019

Malta Life Sciences Park - San Gwann 1330—1700



## Dr James Debono

Dr James Debono is an Associate within GANADO Advocates' Banking and Finance team, assisting institutional as well as start up clients on various regulatory matters, particularly in the fields of Fintech, Blockchain and Crowdfunding. He regularly assists crypto clients in relation to the admission to listing of virtual financial assets, the disclosure requirements in the context of offers to the public of virtual financial assets, as well as in the authorisation process of VFA service providers. Besides being involved in assisting listed entities in their share disclosure obligations and other duties under the Listing Rules, James advises clients on corporate matters including formation of companies, corporate governance and general company law.

Prior to joining the Banking and Finance Team, James formed part of the Corporate Finance team and the Investment Services and Funds team, focusing on financings and the setting up of investment services providers (including funds and asset management firms) from the Malta Financial Services Authority.

James holds a Master of Laws in Banking in Finance from the London School of Economics and Political Science (LSE).

## Overview of session

*This training course on market abuse will delve into the negative effects of insider trading and market manipulation on the financial markets. The course will explore the evolution of the Maltese and EU's anti-market abuse regimes, all of which aim to ensure fair and stable markets, and the sanctions applicable to violations of such laws. Such training will also highlight potential red flags of market abuses, and how these can be prevented, even in innovative financial sectors, such as the virtual financial assets regime.*

*Session outline:*

- ◆ *What is market abuse?*
- ◆ *Rationale for regulating market abuse*
- ◆ *Evolution of market abuse regime*
- ◆ *Maltese and EU sources of law and regulation*
- ◆ *Main prohibitions on insider dealing*
- ◆ *Prohibitions on market manipulation*
- ◆ *Sanctions*
- ◆ *Duties & disclosure obligations*
- ◆ *Market soundings*
- ◆ *Prevention and detection of abuse*
- ◆ *Practical cases of market abuse and potential red flags*
- ◆ *List of Insiders, Suspicious transaction and order reports (STORs) and PDMR Templates*
- ◆ *Prevention of Market Abuse in the Virtual Financial Assets Sector*



## Registration Form

26th March 2019 at Malta Life Sciences Park at 1330hrs—1700 hrs

Registration

[ \_ ] € 90

### Personal Information

Name & Surname: \_\_\_\_\_

Date of Birth: \_\_\_ / \_\_\_ / \_\_\_\_\_ I.D. No.: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Home Address: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

### Office Information

Office Address: \_\_\_\_\_

Office E-mail: \_\_\_\_\_ Office Tel: \_\_\_\_\_

I certify that the information hereby provided is true and correct:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Membership:** Registration entitles you to become a full registered local member of the ifs Malta. This membership is free and valid for a maximum period of twelve months, after which the Committee will evaluate and consider whether to extend such membership for another fixed period or for an indefinite period of time. Renewal of membership is valid for an additional twelve month period. The local membership is subject to review by the Committee at any time.

**Data Protection Notice:** ifs Malta holds and processes your personal data in order to give you the full benefits of being a student, for administration purposes and to inform you of any future ifs Malta events, services and other related information. In instances where employers sponsor their employees for all or parts of the course/s, ifs Malta is bound to inform such employers upon the performance and results of their relevant employees if any assessment parts are carried out. ifs Malta does not sell or give your personal data to any other third party. In the eventuality that ifs Malta would need to give any personal data to a third party, you will on a case-by-case basis, be duly informed and you will also be given the opportunity to refuse that such data be given. You have the right to request access to and rectification of, the personal data concerning you that is held by ifs Malta.