

Chapter 6

Commission Delegated Regulation (EU) 2016/960



Article 4 Data regarding persons receiving the market sounding

(1) For each market sounding conducted, the disclosing market participant shall draw up a list containing the following information:

(a) the names of all natural and legal persons to whom information has been disclosed in the course of the market sounding;

(b) the date and time of each communication of information which has taken place in the course of or following the market sounding;

(c) the contact details of the persons receiving the market sounding used for the purposes of the market sounding.

(2) Disclosing market participants shall draw up a list of any potential investors that have informed them that they do not wish to receive market soundings, in relation to either all potential transactions or particular types of potential transactions. The disclosing market participant shall refrain from communicating information for the purposes of market soundings to such potential investors.