



## Book III - Service providers

### Title I ter - Asset management companies of UCITS

#### Chapter IV - Conduct of business rules

##### Section 4 - Information about subscription or redemption orders for units or shares of UCITS and the management of UCITS

Sub-section 2 - Reporting on UCITS management

### General regulation of the AMF

#### Article 321-133 into force from 03 January 2018 to 17 May 2020

DISCLAIMER : Information boxes have been inserted within the General Regulation. They allow for a direct access to the relevant European regulations on the subject matter.

The user will be redirected to the European regulations as initially published in the Official Journal of the European Union and to the subsequent corrigenda, if any. The AMF does not guarantee the completeness of the redirections to these European regulations and corrigenda.

The boxes are located at the most relevant level of the GRAMF depending on the provision of the EU regulations to which they refer (Book, Title, Chapter, Section, etc.).

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#### Article 321-133

In a report drawn up within four months of the end of its financial year and appended to the management report of the board of directors or executive board, as the case may be, asset management companies shall report on how they have exercised voting rights in the past year.

This report shall specify, inter alia:

- 1 • The number of companies in which the asset management company exercised voting rights, compared with the total number of companies in which it had voting rights;
- 2 • The cases in which the asset management company considered that it could not adhere to the principles set forth in its voting policy document;
- 3 • The conflicts of interest that the asset management company had to deal with in exercising voting rights attaching to

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securities held by the UCITS that it manages.

This report shall be made available to the AMF. It must be available for viewing on the asset management company's website or at its registered office under the terms and conditions specified in the prospectus.

Where an asset management company has not exercised any voting rights during the financial year, further to the voting policy it has drawn up under Article 321-132, it does not prepare the report stipulated in this article but shall ensure that unit holders and investors can access said voting policy on its website.

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✚ Version into force since 18 May 2020

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✚ **Version into force from 3 January 2018 to 17 May 2020**