AMF | AUTORITÉ
DES MARCHÉS FINANCIERS

Book III - Service providers

Title I ter - Asset management companies of UCITS

Chapter III - Organisational rules

Section 9 - Record keeping

General regulation of the AMF

Article 321-73 into force since 03 January 2018

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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.

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Article 321-73

The purpose of recording telephone conversations shall be to facilitate monitoring to ensure that transactions are lawful and that they comply with clients' instructions

The compliance and internal control officer may listen to the recordings of telephone conversations made pursuant to Article 321-72. If the compliance and internal control officer does not himself listen to the recording, it may not be listened to without his agreement or the agreement of a person designated by him.

The persons referred to in Article 321-72, whose telephone conversations may be recorded, shall be notified of the conditions under which they are able to listen to the relevant recordings.

The retention period for telephone recordings required under this Regulation shall be at least six months. It must not be more than five years.

↘ **Version into force since 3 January 2018**

Source : AMF website / Article 321-73 into force since 03/01/2018 with notes / This translation is for information purposes only

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