



## Book III - Service providers

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

#### Chapter III - Organisational rules

##### Section 10 bis - Report of compensation and non-compliance with UCITS investment rules

## General regulation of the AMF

### Article 321-75-1 into force since 23 April 2021

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#### Article 321-75-1

Pursuant to Article L. 621-8-4 of the Monetary and Financial Code, asset management companies shall provide the AMF, at the latest one calendar month after the end of each quarter of the calendar year:

- 1 • information relating to compensation paid by the asset management company to shareholders or unitholders of the UCITS that it manages, including by delegation, and to clients to which the asset management company provides one or more investment or ancillary services. The asset management company shall also inform the AMF if it has not paid any compensation during the period covered;
- 2 • Information relating to the non-compliance by the asset management company with investment and asset structure rules laid down by legal and regulatory provisions and the investor disclosure documents for the UCITS that it manages, including by delegation, with the exception of cases of non-compliance with these rules occurring beyond the control of the asset management company and not resulting from the maturity of a financial instrument held by the UCITS.

This article shall not apply to asset management companies that manage a UCITS by delegation when asset management the investment management company or the said UCITS is already subject to the disclosure requirements under this article.

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📄 **Version into force since 23 April 2021**