



Book III - Service providers

Title II - Other service providers

Chapter I - Custody account-keepers

Section unique - Provisions relating to custody account-keeping - terms of reference for the custody account-keeper

Sub-section 4 - Professional obligations of the issuer entities considered in their capacity as custody account-keepers and provisions relating to the administration of registered financial securities

Paragraph 2 - Stipulations of the terms of reference of the custody account-keeper applicable to legal entities issuing financial securities via public offerings, with the exception of those mentioned in 1 or 2 of Article L. 411-2 of the Monetary and Financial Code or in Article L. 411-2-1 of said code, which (i) record issued financial securities in "pure registered" accounts, or (ii) record issued financial securities in a distributed ledger system

General regulation of the AMF

Article 322-66 into force since 19 April 2013

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.).

This additional material is provided for information purposes only and does not constitute a regulatory instrument. The AMF shall not be held liable or responsible for any harm resulting directly or indirectly from the provision or the use of these information boxes.

Article 322-66

The issuer entity shall organise its procedures in such a way that the report on the suspense items in terms of financial securities is supplied on a monthly basis to the audit manager mentioned in Article 322-72.

Suspense items mean operations rejected by the issuer entity and not regularised by the intermediaries. These operations are:

- 1 • Negotiations on an essentially registered financial security;
- 2 • Elementary operations;

2023-10-10

3 • Transfers, sales and rectifications of account names;

4 • Sundry operations in financial securities;

5 • Transfers of portfolios.

The report on the suspense items is filed by the intermediary and each line therein is completed with the accounting reference of the operation.

All suspense items shall be regularised as quickly as possible.

To the extent required, a procedure for bilateral reconciliation between the issuer entity and the intermediaries shall be implemented with a view to resolution of the suspense items.

📌 **Version into force since 19 April 2013**