



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 322-68 into force since 23 September 2021

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Article 322-68

The account opening agreement or the agreement for recording the financial securities in a distributed ledger system shall contain:

- 1 • The identity of the holder of the pure registered financial securities;
- 2 • Where a legal entity is concerned, the modalities for informing the issuer entity about the name of the person or persons authorised to act in the name of the said legal entity; where a natural person is concerned, his/her capacity as a French resident, a resident of another State which is a party to the European Economic Area agreement or a resident of a third country and the identity, where applicable, of the person or persons authorised to act in the name of the said natural person;

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- 3 • The information relating to the tax situation of the holder of the financial securities, which are necessary to the issuer entity in order to fulfil its professional obligations.
- 4 • If a service of receipt and transmission of orders is supplied to the holder of pure registered financial securities, the characteristics of the orders likely to be sent to the issuer entity, the method of receipt and transmission of the orders, the modalities for informing the holder when the transmission of the order was not able to be completed, and the content and modalities for informing the holder following execution of the order;
- 5 • The modalities for information relating to movements recorded on the holder's account or relating to recordings in a distributed ledger system.

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

📄 Version into force from 19 April 2013 to 22 September 2021