



## 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 322-71-1 into force from 03 January 2018 to 07 May 2023

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#### Article 322-71-1

The issuer entity shall establish and keep operational and efficient and transparent procedure for the reasonable and rapid processing of complaints sent to it by holders of registered financial securities.

These holders shall be able to send complaints to the issuer entity free of charge.

The issuer entity shall respond to the complaint by the registered financial security holder within a maximum deadline of two months with effect from the date of receipt of this complaint, except in the event of duly justified specific circumstances.

It shall put in place a system for equitable and harmonised processing of complaints by holders of registered financial securities.

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It shall record each complaint and the measures taken for its handling. It shall put in place a system for monitoring complaints allowing it in particular to identify any malfunctions and to implement the appropriate corrective actions.

Information about the procedure for handling complaints is made available free of charge to holders of registered financial securities.

The procedure put in place shall be proportionate to the number of holders of registered financial securities and to the size and the structure of the issuer entity.

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✚ Version into force since 8 May 2023

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✚ **Version into force from 3 January 2018 to 7 May 2023**