



Book III - Service providers

Title II - Other service providers

Chapter V - Financial investment advisers

Section 3 - Organisational rules

Sub-section 1 - General provisions

General regulation of the AMF

Article 325-23 into force from 08 June 2018 to 07 May 2023

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Article 325-23

Financial investment advisers shall establish and maintain an effective and transparent procedure for reasonable and prompt handling of complaints received from clients or potential clients.

Clients can file complaints free of charge with the financial investment adviser.

Financial investment advisers shall respond to the complaint filed by the client within a maximum of two months from the date of receipt of the complaint, except in duly justified exceptional circumstances.

They shall implement an equal and consistent procedure for handling complaints filed by clients.

Financial investment advisers shall record each complaint and the measures taken to handle it. They shall also implement a complaint monitoring system enabling them to identify problems and implement the appropriate corrective measures.

Information on the complaint handling procedure shall be made available to clients free of charge.

The procedure put in place shall be proportionate to the size and structure of the financial investment adviser.

✚ Version into force since 8 May 2023

✚ **Version into force from 8 June 2018 to 7 May 2023**

✚ Version into force from 24 September 2014 to 7 June 2018