



## Book III - Service providers

### Title II - Other service providers

#### Chapter V - Financial investment advisers

##### Section 2 - Conduct of business rules

### General regulation of the AMF

#### Article 325-3 into force from 18 June 2013 to 07 June 2018

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#### Article 325-3

When establishing a relationship with a new client, the financial investment adviser shall give the client a document including the following references:

- 1 • his/her name or company name, his/her business address or that of his/her registered office, his/her status as a financial investment adviser and his/her registration number in the register mentioned in I of Article L. 546-1 of the Monetary and Financial Code;
- 2 • the name of the professional association to which he belongs;
- 3 • where applicable, his/her capacity as a direct marketer and the identities of the principals for which he/she carries on a direct marketing business;
- 4 • where applicable, the name(s) of any institution(s) promoting products mentioned in point 1° of Article L. 341-3 of the Monetary and Financial Code in which he has a material ownership or commercial interest;
- 5 • where applicable, any other regulated status that he holds.

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✚ Version into force since 8 June 2018

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✚ **Version into force from 18 June 2013 to 7 June 2018**