AUTORITÉ
DES MARCHÉS FINANCIERS

Book III - Service providers

Title II - Other service providers

Chapter V - Financial investment advisers

Section 6 - Authorisation of representative associations

Sub-section 1 - Authorisation requirements

General regulation of the AMF

Article 325-37 into force from 08 June 2018 to 07 February 2020

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Article 325-37

The association shall have the staff and technical resources needed to carry out its mission on an ongoing basis.

Its technical resources shall include, inter alia:

1 • A computerised tool to establish a list indicating, where applicable, for each member:

a) Where the financial investment advice business is operated by a natural person:

— The surname, forenames, date of birth, place of birth and business address of the natural person who is a financial investment adviser; and

— The surname, forenames, date and place of birth of the natural persons employed by the financial investment adviser to operate the financial investment advice business; or

b) Where the financial investment advice business is operated by a legal entity:

— The business name and address of this legal entity;

— The surname, forenames, date and place of birth and personal address of the natural persons who have the power to manage or administer this legal entity; and

— The surname, forenames, date and place of birth of the natural persons employed by the financial investment adviser to operate the financial investment advice business.

This list shall be held at the disposal of the AMF.

2 • A data storage facility for the retention of documents, in particular control reports, for five years.

↘ Version into force since 8 February 2020

↘ **Version into force from 8 June 2018 to 7 February 2020**

↘ Version into force from 1 October 2014 to 7 June 2018