



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 since 08 February 2020

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Article 325-37

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

The association shall appoint a person who will be responsible for the exchanges of information covered by professional secrecy with the AMF pursuant to point IV of Article L. 541-4 of the Monetary and Financial Code. This person must meet the requirements specified by an AMF instruction.

These technical resources shall include, inter alia:

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

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

— the surname, forenames, date of birth, place of birth and business address of the natural person 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 activity of financial investment advice 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 inspection 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