



Book V - Market infrastructures

Title VI - Central depositories of financial instruments

Chapter unique - Central depositories and payment and settlement systems for financial instruments

Section 3 - Issuance of professional licences to certain members of the central depository's staff

General regulation of the AMF

Article 560-5 into force since 11 September 2019

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Article 560-5

The person or persons referred to in paragraphs 1° and 2° of Article 560-4 shall draw up a yearly report on the conditions in which they carry out their duties. This report is submitted to the central depository's executive body and to the AMF no later than four months after the end of the financial year.

The report includes :

- 1 • A description of how monitoring and supervision are organised;
- 2 • A description of the tasks performed in carrying out these duties;
- 3 • Any observations made by the supervisor;
- 4 • Measures taken as a result of such observations.

The responsible person mentioned in point 3° of Article 560-4 shall ensure that the organisation of the internal control

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system concerning the obligations relating to the prevention of money laundering and the internal control activities conducted give rise to the drafting of an annual report each year, which must be submitted to the AMF within four months of the closure of the financial year in which it was drawn up.

This report describes:

- a) The internal control procedures implemented according to the assessment of the money laundering and terrorist financing risks;
- b) The means employed to exercise and control the control activity, including when that activity is performed by a third party;
- c) The incidents and shortcomings found and the corrective measures taken.

📄 **Version into force since 11 September 2019**

📄 Version into force from 29 October 2018 to 10 September 2019