



Print from the website of the AMF

Reference (eg. DOC-2020-02), keywords...



## IV - Marketing - Customer relationship

### IV.1 - General provisions

Applicable from 6 November 2014

[Print](#)[Download](#)

Position DOC-2013-02

### Collecting 'know-your-client' information

#### Document

#### Summary

This page is not available in English at the moment

**Download policy**

- ✓ From 01 October 2013 to 05 November 2014 | Position DOC-2013-02

### Collecting 'know-your-client' information

In order to give suitable advice when marketing financial instruments, professionals must enquire about the client's requirements and needs, his financial situation and his objectives, and about his knowledge and experience in financial matters. Clarifications are therefore given about the methods for collecting information, its traceability, the quality of its content, its use, and the resources and procedures to be implemented.

↓ **Download policy**

#### Reference texts

- Article 314-44 of the AMF General Regulation [↗](#)
- Article 314-46 of the AMF General Regulation [↗](#)
- Article 314-47 of the AMF General Regulation [↗](#)
- Article 314-51 of the AMF General Regulation [↗](#)
- Article 314-52 of the AMF General Regulation [↗](#)
- Article 314-53 of the AMF General Regulation [↗](#)
- Article 325-7 of the AMF General Regulation [↗](#)

---

#### ✓ **Links**

- Recommendation on gathering customer information in the framework
- of the duty to provide advice on life insurance policies - 2013-R-01 [↗](#)

Legal information:

Head of publications: The Executive Director of AMF Communication Directorate. Contact:

Communication Directorate – Autorité des marchés financiers 17 place de la Bourse – 75082 Paris  
cedex 02