Obtain the Investment Services Compliance Officer (RCSI) professional licence

Are you changing your Investment Services Compliance Officer (RCSI)? Would you like to enrol an employee for the AMF training and/or examination to obtain the RCSI professional licence? You will find all the information you need to report the change and about the RCSI licence here.

You are reporting that your RCSI has changed

If you change the person responsible for compliance and internal control in your company, you must complete the appropriate form in the change to investment management company details document, which forms Annex 1 of AMF Instruction [DOC-2014-01](https://doctrine.amf-france.org/en_US/Reglementation/Doctrine/Doctrine-list/Doctrine?xtcr=1&isSearch=true&docId=workspace%3A%2F%2FSpacesStore%2F3ebb94ed-24fe-450ab009-aa65745dfb2&lastSearchPage=https%3A%2F%2Fdoctrine.amf-france.org%2FmagnoliaPublic%2Famf%2Fen_US%2FResultat-de-recherche%3FFormId%3DDOCTRINE%26DOC_TYPE%3DDOCTRINE%26TEXT%3D%26REFERENC%26DOC-2014-01%26DATE_VIGUEUR_DEBUT%3D%26DATE_VIGUEUR_FIN%3D%26LANGUAGE%3Den%26valid_form%3DStart%2Bsearch%26isSearch%3Dtrue&xtmc=-DOC-2014-01&category=III+-+Providers&docVersion=3.0].

This form must be sent to your usual portfolio manager. But if you don’t know him already, send an email to:
— **PSI@amf-france.org** if you are a retail or private bank or a distributor

— **intermediaires@amf-france.org** if you are a market intermediary

### You are enrolling for the training and/or examination

The procedures for awarding Compliance Officer licences are defined in AMF instruction [DOC-2006-09](https://doctrine.amf-france.org/en_US/Reglementation/Doctrine/Doctrine-list/Doctrine?xtcr=1&isSearch=true&docId=workspace%3A%2F%2FSpacesStore%2Fe9c89ef1-2d33-4321-98d9-68bafe5deb18&lastSearchPage=https%3A%2F%2Fdoctrine.amf-france.org%2FmagnoliaPublic%2Famf%2Fen_US%2FResultat-de-recherche%3FformId%3DDOCTRINE%26DOC_TYPE%3DDOCTRINE%26TEXT%3D%26REFERECE%3DDOC-2006-09%26DATE_VIGUERE_DEBUT%3D%26DATE_VIGUERE_FIN%3D%26LANGUAGE%3Den%26valid_form%3DStart%2Bsearch%26isSearch%3Dtrue&xtmc=-DOC-2006-09&category=III+-+Providers&docVersion=6.0].

Once your enrolment file has been received and reviewed by the AMF, you will receive an email confirming your enrolment for the training and/or examination, which serves as your notice to attend. An invoice will be sent to you at your billing address, which is mandatory and cannot be modified.

FYI:

— The training programme is posted online 15 days before the training.

— The list of examination sittings is posted online 10 days before the date of the first examination.

The preparatory training for the examination to award a Compliance Officer professional licence should not be confused with the Compliance Officer Training Day which is held once a year. The purpose of this annual training event is to provide you with an opportunity to enhance your knowledge and professional practices.

In French only

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<table>
<thead>
<tr>
<th>Conditions préalables</th>
<th>Documents à adresser sur la boîte mail <a href="mailto:rcsi@amf-france.org">rcsi@amf-france.org</a></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inscription à la formation seule</strong></td>
<td>La priorité est donnée aux candidats se présentant à une examen pour l’obtention de la carte professionnelle de RCSI</td>
</tr>
<tr>
<td><strong>Inscription à la formation et à l’examen</strong></td>
<td>Il est souhaitable que le candidat à l’examen, lorsqu’il se présente devant le jury, possède déjà une bonne connaissance du prestataire au sein duquel il est appelé à exercer sa fonction et une bonne connaissance de cette fonction. Il doit être titulaire d’une carte temporaire de RCSI obtenue auprès des services de l'AMF. ***</td>
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Annexe 1 de l'instruction AMF DOC-2006-09 :
- Formulaire type de demande d’inscription à la formation RCSI
- Convention simplifiée de formation professionnelle continue - RCSI

Annexe 1 de l'instruction AMF DOC-2006-09 :
- Formulaire de demande de délivrance d’une carte professionnelle de RCSI (l’option formation est explicite dans le document)
- CV contenant la clause de non condamnation/sanction prévue dans le formulaire de demande de carte
- Attestation de vérification de connaissances minimales du candidat
- Extrait de casier judiciaire datant de moins de trois mois à la date de l’examen.
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Pursuant to EU Regulation 2016/679 of 27 April 2016 and Law 78-17 of 6 January 1978, individuals have the right to access, rectify, erase, oppose and limit the processing of their personal data. This right may be exercised by sending a letter to the following address: AMF – Data Protection Officer – 17 place de la Bourse, 75002 Paris; or by sending an email to: accesdopers@amf-france.org URL = [mailto:accesdopers@amf-france.org]. You may also file a complaint about the processing of your data with the French data protection agency, CNIL.

**Schedule of training and examination sessions**
Each year, the AMF organises two examination sessions and two training sessions that lead to awarding the Investment Services Compliance Officer (RCSI) professional licence. To enrol, you must send a completed electronic enrolment file to the AMF.

To gain access to the AMF’s premises, you will have to provide proof of your identity.

In French only

<table>
<thead>
<tr>
<th>DATES DE FORMATION (6 jours)</th>
<th>43ème SESSION RCSI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Espace Vinci 25 rue des Jeûneurs, 75002 PARIS</td>
<td>Inscriptions suspendues</td>
</tr>
<tr>
<td>Programme et horaires* disponibles (rubrique« A lire aussi »)</td>
<td>Mercredi 27 mai 2020</td>
</tr>
<tr>
<td>5 jours avant le début de la formation</td>
<td>Jeudi 28 mai 2020</td>
</tr>
<tr>
<td>Coût de 1000 euros par personne</td>
<td>Vendredi 29 mai 2020</td>
</tr>
<tr>
<td></td>
<td>Mercredi 3 juin 2020</td>
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<tr>
<td></td>
<td>Jeudi 4 juin 2020</td>
</tr>
<tr>
<td></td>
<td>Vendredi 5 juin 2020</td>
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</tbody>
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<tr>
<th>DATES D’EXAMENS **</th>
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</thead>
<tbody>
<tr>
<td>17 place de la Bourse, 75002 Paris</td>
</tr>
<tr>
<td>Coût de 100 euros par personne</td>
</tr>
</tbody>
</table>

* Usually from 9:30 am to 12:30 pm and from 2:00 pm to 5:00 pm

** You will be informed by the AMF of the date and time of the examination during the training. For other candidates, it is published 10 days before the examinations. The examination date cannot be chosen by the candidate.

MY CONTACT AT THE AMF

— RCSI Team

rcsi@amf-france.org