



Print from the website of the AMF

30 April 2020

Summary of SPOT inspections on compliance with the new mifid 2 provisions on portfolio management for third parties


As announced in the AMF's supervision priorities for 2019, a series of short thematic "SPOT" inspections relating to portfolio management for third parties ("portfolio management") was carried out in 2019. These inspections were conducted as part of the new provisions introduced by Directive 2014/65/EU of 15 May 2014 on markets in financial instruments ("MiFID 2"), supplemented by Commission Delegated Regulation (EU) 2017/565 of 25 April 2016. The SPOT inspections involved a sample of five investment services providers ("ISPs") targeting exclusively credit institutions authorised to provide portfolio management services on behalf of third parties. The inspections carried out covered the period 2018-2019.

 Download content

Keywords

MIFID

ON THE SAME TOPIC

 Subscribe to our alerts and RSS feeds

**SPOT INSPECTIONS**INDIVIDUAL INVESTMENT
MANDATE

21 May 2019

Summary of SPOT
inspections on
portfolio management

**AMF NEWS RELEASE**INDIVIDUAL INVESTMENT
MANDATE

21 May 2019

The AMF publishes a
summary of its
thematic review of
portfolio management
practices

**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