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IV - Marketing - Customer relationship

IV.1 - General provisions

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Collecting 'know-your-client' information

Document

Summary

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- ✓ 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.

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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](#) 

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