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Summary of Spot inspections on compliance with MiFID II suitability provisions

In accordance with the AMF's 2020 supervision priorities, a series of short thematic “SPOT” inspections were conducted in 2020 on the procedures for assessing the suitability of a financial instrument for the particular situation of a retail client when providing investment advisory services. These inspections took place within the framework of the provisions introduced by Directive 2014/65/EU of 15 May 2014 on markets in financial instruments (MiFID II) supplemented by Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 (MiFID II DR), which came into force on 3 January 2018. The investigations covered a sample group of four investment service providers (ISPs) and covered a period ranging from 3 January 2018 to 16 March 2020 (the day before the first lockdown in France due to the health crisis).

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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