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## Propose a Settlement

**When it serves a statement of objections, the AMF Board may propose a settlement procedure. Who is concerned? How is a settlement conducted?**

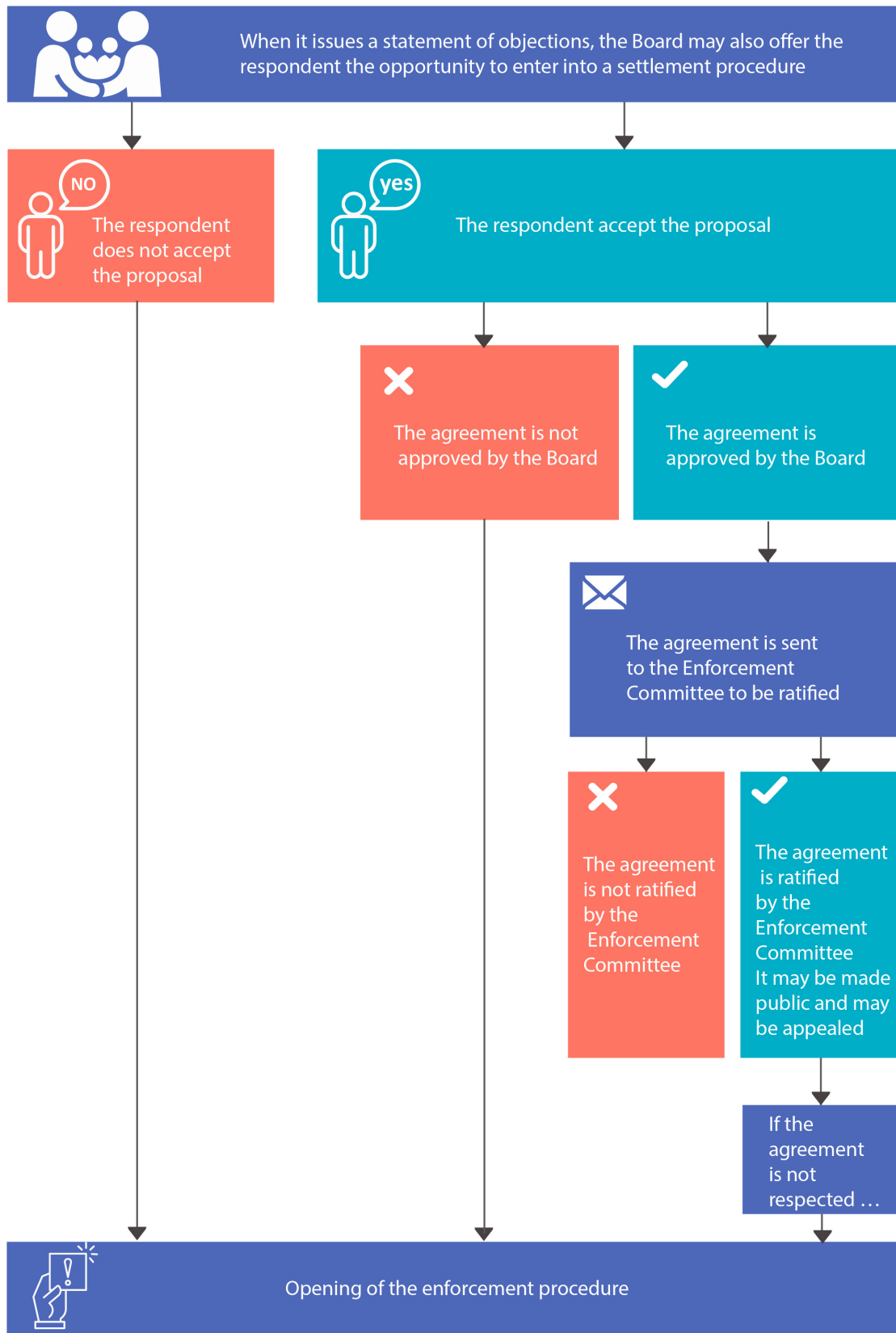
### **Under what circumstances can a settlement be proposed?**

The Board may propose a settlement procedure to financial intermediaries who fail to meet their professional obligations, to various participants on a market who are in breach of the rules that apply to market abuse or to persons who have not complied with certain transparency rules. The Board may also propose settlements to market infrastructures in the event of a breach.

This proposal is an alternative to sanction proceedings.

The out-of-court settlement agreement concluded between the Secretary General and the respondent must be approved by the Board and ratified by the Enforcement Committee.

### **Main stages of the settlement procedure**



## Read more

- Articles L. 621-14-1 and R. 621-37-1 to R. 621-37-4 of the Monetary and Financial Code (in French only)
- Article L.621.30 of the Monetary and Financial Code (in French only)

## Keywords

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