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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.

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