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Reference (eg. DOC-2020-02), keywords...



III - Providers

III. 1 - Investment services providers

III. 1.3. Rules of conduct

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Position - Recommendation DOC-2007-25

Q&A on the rules of conduct applicable to investment services providers

Document

Summary

The purpose of this Position-Recommendation is to answer questions that market professionals may have about the rules of conduct applicable to ISPs. It provides clarification on four topics: client categorisation, information provided to clients, agreements to be entered into, and suitability assessment.

Reference texts

➤ Article L. 533-16 of the Monetary and Financial Code (in french only) [↗](#)

➤ Article L. 533.20 of the Monetary and Financial Code (in french only) [↗](#)

Articles D. 533-4 to D. 533-14 of the Monetary and Financial Code (in french only) [↗](#)

➤ Article D. 533-15 of the Monetary and Financial Code (in french only) [↗](#)

Articles 3, 58 and 59 of Commission Delegated Regulation (EU) 2017/565 [↗](#)

➤ Article 314-11 of the AMF General Regulation

Archives

✓ From 17 December 2020 to 31 December 2022 | Position - Recommendation DOC-2007-25

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✓ From 23 October 2007 to 16 December 2020 | Position - Recommendation DOC-2007-25

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Keywords

INVESTMENT SERVICES

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