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III - Providers

III. 1 - Investment services providers

III. 1.3. Rules of conduct

Applicable from 1 January 2023

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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. 533.20 of the Monetary and Financial Code (in french only)

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 - Articles D. 533-4 to D. 533-14 of the Monetary and Financial Code (in
- ✓ french only)
- ightharpoonup Article D. 533-15 of the Monetary and Financial Code (in french only) ightharpoonup
 - Articles 3, 58 and 59 of Commission Delegated Regulation (EU)
- ≥ 2017/565 🖒
- → Article 314-11 of the AMF General Regulation

Archives

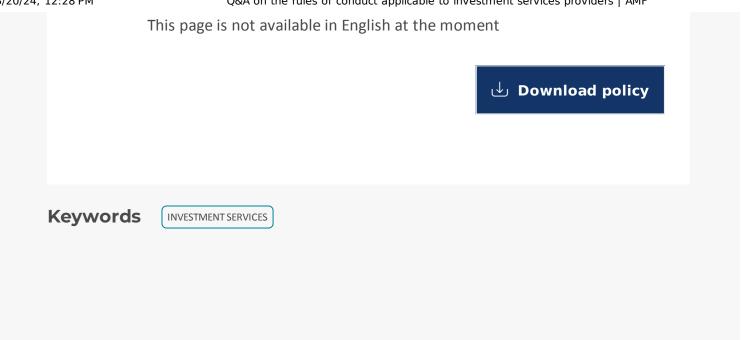
From 17 December 2020 to 31 December 2022 |
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Q&A on the rules of conduct applicable to investment services providers



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

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