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## III - Providers

### III.1 - Investment services providers

#### III.1.3. Rules of conduct

**Applicable from 1 January 2023**[Print](#) [Download](#)

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.



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## 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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## Keywords

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