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Instruction DOC-2008-01

Investment services providers others than asset management companies

Document




Summary

The AMF specifies, for investment services providers other than portfolio management companies, the rules governing organisation of the compliance function, the conditions of application of the provisions governing personal transactions, the conditions to be respected when verifying the identity and legal capacity of new clients, and the gross amount above which a transaction is considered as significant when categorising clients.

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Reference texts

[Article 313-4 of the General Regulation](#)

- ✎ [Article 313-9 of the General Regulation](#) 
- ✎ [Article 314-4-1 of the General Regulation](#) 
- ✎ [Article 314-6 of the General Regulation](#) 

Legal information:

Head of publications: The Executive Director of AMF Communication Directorate. Contact: Communication Directorate - Autorité des marchés financiers 17 place de la Bourse - 75082 Paris cedex 02

