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



III - Providers

III.1 - Investment services providers

III.1.1. Authorisation / Programme of operations / Passport

Applicable from 14 December 2023

Position - Recommendation DOC-2012-19

This page is not available in English at the moment

Archives

- ✓ From 21 March 2022 to 20 July 2023 | Position - Recommendation DOC-2012-19

Programme of operations guide for asset management companies and self-managed collective investments

The position-recommandation DOC-2012-19 outlines how to complete the sections of the authorization application (including the program of

operations) and complementary sheets. In particular it provides specific instructions on the "four eyes" (quatre yeux) rule, access to (information on) the position of the market member, the credit analysis, delegation and outsourcing, the practice of cash pooling (centralised treasury management authorised provided that certain conditions are met) as well as on internal control procedures.

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Articles 316-3, 316-4, 317-1 à 317-5, 317-7, 318-1, 318-62, 321-2, 321-3, 321-9, 321-10, 321-13, 321-15, 321-23, 321-93 à 321-97 et 321-157
of the AMF General Regulation [↗](#)

Article 32 (1) of Commission Delegated Regulation (EU) n° 217/565 of
25 April 2016 [↗](#)

Links

Marketing of complex financial instruments (in french only) [↗](#)

Application of business conduct rules to marketing of units or shares in UCITS or AIFs by asset management companies, management companies or managers (in french only) [↗](#)

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