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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

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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-recommendation 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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Article 32 (1) of Commission Delegated Regulation (EU) n° 217/565 of
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Application of business conduct rules to marketing of units or shares in UCITS or AIFs by asset management companies, management

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From 31 January 2018 to 23 January 2019 | Position - Recommendation DOC-2012-19

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