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



## III - Providers

### III.1 - Investment services providers

#### III.1.2. Organisational rules

Applicable from 21 March 2022

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Position - Recommendation DOC-2014-06

## Guide to the organisation of risk management, compliance and control systems within portfolio asset management companies

### Document

### Summary


The AMF recommendation DOC-2014-06 details the expectations of the AMF for the operation and organisation of compliance, risk management, internal monitoring and periodic control functions within asset management companies (AMCs). This guide specifies, notably, how different control functions should be structured and is aimed at AMCs that





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manage UCITS or AIFs and/or that provide a discretionary portfolio management service.

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### Reference texts

Articles 312-43 to 312-48, 318-4, 318-5, 318-38 to 318-56, 321-23 to 321-27, 321-30 to 321-36, 321-62 to 321-65, 318-29 to 32, 321-76 to 321-81, 321-79 and 321-83 to 321-92 of the General Regulation 

Articles 38 to 49 and 60 to 62 of Commission Delegated Regulation (EU) 231/2013 of 19 December 2012 

Articles 22 and 25 of Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 

### Archives

- ✓ From 24 January 2019 to 20 March 2022 | Position - Recommendation DOC-2014-06

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- ✓ From 31 January 2018 to 23 January 2019 | Position - Recommendation DOC-2014-06





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The AMF recommendation DOC-2014-06 details the expectations of the AMF for the operation and organisation of compliance, risk management, internal monitoring and periodic control functions within asset management companies (AMCs). This guide specifies, notably, how different control functions should be structured and is aimed at AMCs that manage UCITS or AIFs and/or that provide a discretionary portfolio management service. This document has not been updated for the laws and regulations that transpose MiFID II and legally separate investment firms from asset management companies. The update will take place in the near future.

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### Reference texts

Articles 38 to 49 of Commission Delegated Regulation (EU) No

 [231/2013](#) 

Articles 313-1 to 313-7, 313-53-2 to 313-58, 313-60, 313-62 to 313-71, 318-4 to 318-6 and 318-38 to 318-56 of the AMF General

 [Regulation](#) 

✓ [From 20 June 2017 to 30 January 2018 | Position - Recommendation DOC-2014-06](#)

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## Reference texts

Articles 38 to 49 of Commission Delegated Regulation (EU) No.

↘ 231/2013 of 19 December 2012 ↗

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