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



IV - Marketing - Customer relationship

IV. 2 - Specific provisions applicable to certain products

Applicable from 9 December 2021

Position DOC-2010-05

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Archives

- ✓ From 08 October 2018 to 08 December 2021 | Position DOC-2010-05

Marketing of complex financial instruments


As structured funds and complex debt securities present risks that retail clients cannot easily understand, the AMF reminds professionals (investment services providers, financial investment advisers and direct




marketers) of their obligations when marketing these products, and lays down four criteria for appraising mis-selling risks.


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Reference texts


Article L. 533-11 to L. 533-13 of the Monetary and Financial Code (in French only) 

Article L. 541-8-1 of the Monetary and Financial Code (in French only) 

Article L.533-22-2-1 of the Monetary and Financial (in French only) 

Articles 212-28 I, 314-6, 325-12, 411-126 and 421-25 of the General Regulation 

▼ **Links**

Prudential Supervisory Authority - Recommendation relating to the marketing of unit-linked life insurance policies composed of complex financial instruments, issued in accordance with paragraph 3 of point II of Article L. 612-1 of the French monetary and financial code (2010-R-01) 

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Marketing of complex financial instruments

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Reference texts



- Article L. 533-11 to L. 533-13 of the Monetary and Financial Code (in French only) [↘](#) [↗](#)
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- Articles 314-33 to 314-36 of the AMF General Regulation [↘](#) [↗](#)
- Article 314-10 [↘](#) [↗](#)
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Article L. 533-11 to L. 533-13 of the Monetary and Financial Code (in French only) [↘](#) [↗](#)

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Article L.541-8-1 of the Monetary and Financial Code (in French only) [↘](#) [↗](#)


Articles 314-33 to 314-36 of the AMF General Regulation [↘](#) [↗](#)



- ↘ [Article 314-10 of the AMF General Regulation](#) 
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