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III - Providers

III.1 - Investment services providers

III.1.1. Authorisation / Programme of operations / Passport

Applicable from 13 February 2024

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Position DOC-2008-23

Questions and answers on the concept of investment service of investment advice

Document

Summary

These questions and answers provide clarifications on the criteria for defining an investment service of investment advice, and on the requirements incumbent upon the investment services provider when it provides such a service.



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Reference texts

➤ [Article D321-1 of the Monetary and Financial Code \(in french only\)](#) [↗](#)

Article 9 of the Commission Delegated Regulation (EU) 2017/565 of 25

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Archives

✓ [From 18 October 2019 to 12 February 2024 | Position - Recommendation DOC-2008-23](#)

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↘ Q&A on the treatment applicable to financial investment advisors

∨ From 29 July 2014 to 17 October 2019 | Position - Recommendation DOC-2008-23

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↘ Q&A on the treatment applicable to financial investment advisors

∨ From 09 December 2009 to 28 July 2014 | Position - Recommendation DOC-2008-23

Questions and answers on the provision of an investment service of investment advice






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Reference texts

↘ Article D.321-1 of the Monetary and Financial Code (in French only) [↗](#)



- [Article 314-43 of the AMF General Regulation](#) 
- [Article 314-44 of the AMF General Regulation](#) 
- [Article 314-45 of the AMF General Regulation](#) 
- [Article 314-46 of the AMF General Regulation](#) 
- [Article 314-47 of the AMF General Regulation](#) 

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- [Q&A on the treatment applicable to financial investment advisors](#)

Keywords

FINANCIAL SERVICES PROVIDERS

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