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Position - Recommendation DOC-2007-21

Professional obligations towards retail clients imposed on investment services providers managing a portfolio on behalf of a third party (in french only)

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Professional obligations towards retail clients imposed on investment services providers managing a portfolio on behalf of a third party

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- [Article 314-44 of the General Regulation](#) 
- [Article 314-60 of the General Regulation](#) 
- [Article 314-66 IV of the General Regulation](#) 

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Professional obligations towards retail clients imposed on investment services providers managing a portfolio on behalf of a third party

The AMF details the professional obligations towards retail clients in terms of portfolio management on behalf of third parties. Clarifications are given about the procedures for entering into a business relationship with the client, discretionary management agreements (form, content, reporting to the client on management of his portfolio) and procedures for executing the portfolio discretionary management agreement.

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Reference texts



- [Article 314-44 of the General Regulation](#) 
- [Article 314-60 of the General Regulation](#) 
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