



Print from the website of the AMF

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



Applicable from 30 June 2016 to 17 October 2019

[Print](#) [Download](#)

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)

Document

Summary

This page is not available in English.

[Download policy](#)

[Archives](#)






- ✓ From 29 July 2014 to 15 July 2015 | Position - Recommendation DOC-2007-21

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

This page is not available in English

 [Download policy](#)

Reference texts

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

- ✓ From 02 October 2013 to 28 July 2014 | Position - Recommendation DOC-2007-21




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.

 [Download policy](#)

Reference texts



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




✓ From 18 December 2012 to 01 October 2013 | Position - Recommendation DOC-2007-21

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.

 **Download policy**

Reference texts

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

Legal information:

Head of publications: The Executive Director of AMF Communication Directorate. Contact: Communication Directorate – Autorité des marchés financiers 17 place de la Bourse – 75082 Paris cedex 02

