

Book IV - Collective investment products

Title I - Undertakings for Collective Investment in Transferable Securities (UCITS)

Chapter unique - Undertakings for collective investment in transferable securities (UCITS)

Section 3 - Operating rules

Sub-section 4 - Fund administration

General regulation of the AMF

Article 411-70 into force since 19 April 2013

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Article 411-70

The unit or share registry management tasks are as follows:

- 1 • Produce documented and traceable records of the number of securities corresponding to the creation or cancellation of units or shares resulting from the centralisation of subscription and redemption orders, and determine the resulting number of securities making up the capital of the CIS; the unit or share registry manager ensures that a corresponding entry has been posted to the cash account of the CIS.
- 2 • Identify the owners of registered units or shares and recording the number of units or shares owned by each owner. If the CIS is not admitted to the transactions of the central depository, the entity responsible for managing the unit or share registry also records the number of bearer units or shares held by custodians that are directly identified in the unit or share registry, where applicable;
- 3 • Organise simultaneous payments and deliveries of securities resulting from the creation or cancellation of units or shares; the registry manager also organises deliveries and, where applicable, payments resulting from any other transfers of units or

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shares. If a securities settlement system is used, the unit or share registry manager ensures that it has appropriate procedures in place;

- 4 • Ensure that the total number of units or shares issued on a given date corresponds to the number of circulating units or shares on the same date, including registered units or shares and, where applicable, bearer units or shares.
- 5 • Organise coupon and dividend payments and organise the processing of corporate actions affecting the CIS units or shares.
- 6 • Ensure the transmission of the specific information mentioned in II (3°) of Article 322-12, depending on the case, either directly to the bearers, or directly to their intermediary custody account-keepers, by the central depository or by any other means.

📌 **Version into force since 19 April 2013**