

## Book III - Service providers

### Title I bis - Asset management companies of AIFs

#### Chapter III - Organisational rules

##### Section 3 - Responsibilities of senior management and supervisory bodies

## General regulation of the AMF

### Article 318-6 into force since 03 January 2018

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#### Article 318-6

In application of Article L. 621-8-4 of the Monetary and Financial Code, the effective managers within the meaning of Article L. 532-9, II, 4 of said Code shall immediately inform the AMF of any incidents that could lead to a loss or gain for the asset management company, a cost linked to its civil or criminal liability, an administrative sanction or reputational damage and resulting from non-compliance with Articles 57 to 59 of Commission Delegated Regulation (EU) No 231/2013 of 19 December 2012, of an amount that exceeds 5% of its regulatory capital. Under the same conditions, they shall inform the AMF of any event preventing the asset management company from meeting the requirements of its authorisation. They shall provide the AMF with an incident report indicating the nature of the incident, the measures implemented after it happened and the initiatives taken to prevent similar incidents from taking place in the future.

↘ **Version into force since 3 January 2018**