

Book III - Service providers

Title I - Investment services providers

Chapter II - Organisational rules

Section 3 - Safeguarding client assets

General regulation of the AMF

Article 312-14 into force since 03 January 2018

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Article 312-14

I.- The investment services provider shall make information pertaining to clients' financial instruments readily available to the following persons or entities:

- 1 • the AMF;
- 2 • the *mandataire judiciaire, administrateur judiciaire, liquidateur* and *commissaire à l'exécution du plan* referred to in Annex B of Regulation (EU) 2015/848 of the European Parliament and of the Council of 20 May 2015 on insolvency proceedings;
- 3 • the Resolution College of the *Autorité de contrôle prudentiel et de résolution*.

II.- The information to be made available shall include:

- 1 • related internal accounts and records that readily identify the balances of financial instruments held for each client;
- 2 • the place where financial instruments are held by the service provider as well as details on the accounts opened with third

2023-10-11

parties and on agreements entered into with such entities;

- 3 • details of any outsourced tasks relating to the holding of financial instruments and details of third parties carrying out such tasks;
- 4 • key individuals of the service provider involved in related processes, including those responsible for oversight of the service provider's requirements in relation to the safeguarding of client financial instruments; and
- 5 • agreements making it possible to establish client ownership over financial instruments.

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