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

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.

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