

Book III - Service providers

Title I ter - Asset management companies of UCITS

Chapter III - Organisational rules

Section 8 - Professional licences

Sub-section 2 - Compliance and internal control officer professional licence issuance

General regulation of the AMF

Article 321-63 into force since 03 January 2018

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Article 321-63

Before issuing the professional license, the AMF shall verify:

- 1 • That the relevant natural person is fit and proper, that he is familiar with the professional requirements and capable of performing the functions of compliance and internal control officer.
- 2 • That pursuant to Article 321-37, II, the asset management company has conducted an internal verification or an examination as provided for in Article 321-39, II, 3 to ensure that the person in question has the minimum knowledge referred to in Article 321-39, II, 1.
- 3 • That the asset management company complies with Article 321-32.

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