

Book III - Service providers

Title I - Investment services providers

Chapter II - Organisational rules

Section 7 - Third-party risk management

Sub-section 1 - Risk management policy and risk measurement

Paragraph 3 - Assessment, monitoring and review of risk management policy

General regulation of the AMF

Article 312-47 into force since 05 July 2018

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Article 312-47

The investment service provider shall assess, monitor and periodically review:

- a) The adequacy and effectiveness of the risk management policy and procedures, and of the arrangements, processes and techniques referred to in Article 312-48;
- b) The level of compliance by the investment service provider and the relevant persons referred to in Article 2 of Delegated Regulation 2017/565 of the Commission of 25 April 2016 with the risk management policy and with the arrangements, processes and techniques referred to in Article 312-48;
- c) The adequacy and effectiveness of measures taken to address any deficiencies in the performance of the risk management process or shortcomings in these arrangements and procedures, including any failure by the relevant persons to comply with the requirements of these arrangements or procedures.

↘ **Version into force since 5 July 2018**