

Book III - Service providers

Title I bis - Asset management companies of AIFs

Chapter III - Organisational rules

Section 10 bis - Report of compensation paid and non-compliance with AIF investment rules

General regulation of the AMF

Article 318-37-1 into force since 23 April 2021

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Article 318-37-1

Pursuant to Article L. 621-8-4 of the Monetary and Financial Code, asset management companies shall provide the AMF, at the latest one calendar month after the end of each quarter of the calendar year:

- 1 • information relating to compensations paid by the asset management company to shareholders or unitholders of the AIFs that it manages, including by delegation, and to clients to which the asset management company provides one or more investment or ancillary services. The asset management company shall also inform the AMF if it has not paid any compensation during the period covered;
- 2 • Information relating to the non-compliance, by the asset management company, with investment and asset structure rules laid down by legal and regulatory provisions and the investor disclosure documents for the AIFs that it manages, including by delegation, with the exception of cases of non-compliance with these rules occurring beyond the control of the asset management company and not resulting from the maturity of a financial instrument held by the AIF.

This article shall not apply to asset management companies that manage an AIF by delegation when the asset management company, the investment management company or the manager of said AIF is already subject to the disclosure requirements under this Article.

↘ **Version into force since 23 April 2021**