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19 October 2021

Summary of SPOT inspections on governance of financial instruments

As announced in the 2020 supervision priorities of the Autorité des Marchés Financiers (hereinafter "the AMF"), a series of short thematic "SPOT" inspections relating to governance of financial instruments were carried out during the period from October 2020 to February 2021. These inspections took place in line with the provisions of Directive 2014/65/EU of 15 May 2014 on markets in financial instruments ("MiFID II"), supplemented by Commission Delegated Directive (EU) 2017/593 of 7 April 2016 and clarified by ESMA Guidelines 35-43-620. The investigations covered the period 2018-2020 and concerned a sample group of five investment service providers (hereinafter "ISPs"), targeting credit institutions belonging to a group and authorised to provide the service of investment advice.


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SPOT INSPECTIONS

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