AMF policy by book

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I. 1.5. Accounting information

I. 1.5.1. Table of contents of the recommendations and financial statements of the current year

DOC-2018-06 Table des matieres recommandations d'arrêté des comptes applicables au 1er janvier 2018 (in French only)
DOC-2022-06 Closing of the 2022 financial statements and financial statements examination work
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I. 2 - Ongoing information

Source : AMF website / the AMF policy into force
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DOC-2017-03 Modalités de déclaration des opérations réalisées dans le cadre des interventions des émetteurs cotés sur leurs propres titres et des mesures de stabilisation

Source: AMF website / the AMF policy into force
I. 5.4. Transfer from a regulated market to a MTF

DOC-2010-03 AMF Q&A pertaining to the transfer of a listed company from Alternext to Euronext

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DOC-2006-15 Fairness opinion in the context of corporate finance transactions

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DOC-2015-09 Communication by companies aimed at promoting their securities to individual investors
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DOC-2011-06 Proxy voting advisory firms

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DOC-2012-02 Corporate governance and executive compensation in companies referring to the AFEP-MEDEF code - Consolidated presentation of the recommendations contained in the AMF annual reports
DOC-2015-05 Major Asset Disposals and Acquisitions
DOC-2011-17 AMF 2011 annual report on corporate governance and executive compensation

Source : AMF website / the AMF policy into force
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DOC-2011-25 A guide to the monitoring of collective investment undertakings
DOC-2011-24 Guide to drafting marketing communications and distributing collective investments and SOFICA funds
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DOC-2008-14 Fund performance swaps and actively managed investment structures
DOC-2012-12 A guide to fees
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DOC-2020-08 Requirements for liquidity stress testing in UCITS and AIFs
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DOC-2013-06 ETFs and other UCITS issues

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DOC-2011-23 Authorisation and establishment processes for a KIID and a prospectus and periodic information for real estate collective investment undertakings and professional real estate collective investment undertakings
DOC-2011-22 Authorisation procedures, preparation of a KIID and rules, and reporting for private equity funds
DOC-2011-20 Authorisation processes, preparation of a KIID and a prospectus and periodic reporting for retail investment funds, funds of alternative funds and professional retail investment funds
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DOC-2012-19 Programme of operations guide for asset management companies and self-managed collective investments

DOC-2014-01 Programme of activity of investment services providers and information provided to the AMF

DOC-2008-03 Authorisation procedure for investment management companies, disclosure obligations and passporting

DOC-2018-08 Joint guidelines of the European banking authority (EBA) and the European securities and markets authority (ESMA) on the assessment of the suitability of members of the management body and key function holders (eba/gl/2017/12)

DOC-2008-23 Questions and answers on the concept of investment service of investment advice

DOC-2012-08 Placement services and marketing of financial instruments

DOC-2013-22 Frequently asked questions on the transposition of the AIFM Directive into French law

DOC-2009-24 Q&A on changes in the ownership structure of asset management companies

DOC-2017-10 Prudential assessment of acquisitions and increases of qualifying holdings in the financial sector

DOC-2008-15 Funds of hedge funds management in France

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DOC-2021-03 Requirements for certification by the AMF of a training organisation to hold the sustainable finance AMF examination

DOC-2010-09 Requirements for certification by the AMF of a training organisation to hold the AMF examination relating to the professional knowledge of market participants

Source : AMF website / the AMF policy into force
III. 1.3. Rules of conduct

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DOC-2014-07 Guide to best execution
DOC-2008-04 Application of business conduct rules to marketing of units or shares in UCITS or AIFs by asset management companies, management companies or managers
DOC-2007-02 Investment decision and order execution support services
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DOC-2016-14 Sound remuneration policies under the UCITS Directive
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DOC-2014-11 Description of the AMF review process of registration applications by crowdfunding investment advisers and the transmission of annual disclosures by said advisers
DOC-2018-02 Marketing of crowdfunding offers, calculation of default rates and run-off management of platforms

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DOC-2006-23 Questions and answers on the rules that apply to financial investment advisers
DOC-2018-04 Guidelines on MiFID II product governance requirements
DOC-2022-03 MiFID II appropriateness and execution-only requirements
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DOC-2008-23 Questions and answers on the concept of investment service of investment advice
DOC-2012-08 Placement services and marketing of financial instruments
DOC-2017-07 Future performance simulations
DOC-2018-03 Placing of financial instruments without a firm commitment basis, investment advice and consultancy services provided to firms in relation to capital structure, industrial strategy and mergers and acquisitions

Source : AMF website / the AMF policy into force
IV. 2 - Specific provisions applicable to certain products

DOC-2011-24 Guide to drafting marketing communications and distributing collective investments and SOFICA fund
DOC-2017-06 Procedure for preparing and registering an information document that must be filed with the AMF by intermediaries in miscellaneous assets

DOC-2014-04 Guide to UCITS, AIF and other investment fund marketing regimes in France
DOC-2014-03 Procedure for marketing units or shares of AIFs
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DOC-2017-06 Procedure for preparing and registering an information document that must be filed with the AMF by intermediaries in miscellaneous assets

DOC-2008-04 Application of business conduct rules to marketing of units or shares in UCITS or AIFs by asset management companies, management companies or managers

DOC-2013-12 Requirement to offer a guarantee (of the formula and/or capital, as appropriate) for structured UCITS and AIFs, "guaranteed" UCITS and AIFs and structured debt securities issued by special purpose entities and marketed to the general public

V - Market infrastructure

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DOC-2023-04 ESMA Guidelines on indicators and scenarios for CCP recovery plans under Article 9 of the Regulation establishing a framework for the recovery and resolution of CCPs
DOC-2022-05 ESMA guidelines on common procedures and methodologies on supervisory review and evaluation process of CCPs under Article 21 of EMIR

DOC-2009-07 On the file to be submitted to the AMF by a CSD or a SSS manager, within the framework of the prior approval application to the AMF for allowing an institution to open an account with the CSD or take part in the securities settlement system

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