20/03/2024

AMF policy by book

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- I. 1.1. Guide on periodic information
- I. 1.2. Filing requirements
- DOC-2013-08 Pro forma financial information
- I. 1.3. Non Financial disclosure
- I. 1.4. Alternative performance measures
- 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-2023-09 Closing of the 2023 accounts and examination of the financial statements
- DOC-2022-06 Closing of the 2022 financial statements and financial statements examination work
- DOC-2021-06 Closing of the 2021 financial statements and financial statements examination work
- DOC-2020-09 2020 Financial statements and review of 2018-2019 financial statements
- I. 1.5.2. Previous year's financial statements
- DOC-2019-13 2019 Financial Statements and Review of 2017-2018 Financial Statements
- DOC-2018-12 Annual report 2018 financial statements and review of the 2016-2017 financial statements
- DOC-2017-09 2017 Financial Statements
- DOC-2016-09 2016 financial statements
- DOC-2015-08 2015 Financial Statements
- DOC-2014-13 Financial statements 2014
- DOC-2013-19 Financial statements 2013
- DOC-2012-16 Financial statements 2012
- DOC-2011-16 Financial statements 2011
- DOC-2010-12 Financial statements 2010
- DOC-2009-28 Financial statements 2009
- DOC-2008-22 Financial statements 2008
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- I. 3.2. Filing requirements

I. 4 - Prospectus and information document for a public offering

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<u>DOC-2019-06 Procedure for examination of the application and establishment of an information document for approval by the AMF on an initial coin offering</u>

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- I. 5.2. Initial public offering
- I. 5.3. Share buybacks

DOC-2017-04 Guide relatif aux interventions des émetteurs cotés sur leurs propres titres et aux mesures de stabilisation 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

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

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DOC-2015-05 Major Asset Disposals and Acquisitions

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DOC-2009-08 Takeover bids supervision

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DOC-2006-08 Fairness opinion

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

I. 6.3. Shareholders' agreement

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DOC-2008-02 Major shareholding notification and letter of intent

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DOC-2011-04 Procedures for communicating on transactions involving the temporary transfer of shares.

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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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

DOC-2010-15 AMF supplementary report on corporate governance, executive compensation and internal control – Mid-caps and small-caps governed by the Middlenext corporate governance code of December 2009

DOC-2010-16 Reference framework for risk management and internal control systems

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DOC-2018-05 Requirements under the european money fund regulation

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DOC-2012-15 Criteria applicable to "philanthropic" collective investments

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 fund

DOC-2011-05 A guide to regulatory documents governing collective investment undertakings

DOC-2008-14 Fund performance swaps and actively managed investment structures

DOC-2012-12 A guide to fees

DOC-2021-01 Performance fees in UCITS and certain types of AIFs

DOC-2020-08 Requirements for liquidity stress testing in UCITS and AIFs

DOC-2011-15 Calculation of global exposure for authorised UCITS and AIFs

<u>DOC-2007-19 Extra-financial criteria for securities selection and application of these criteria to funds declaring themselves compliant with Islamic law</u>

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DOC-2013-06 ETFs and other UCITS issues

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DOC-2013-16 Key concepts of the Alternative Investment Fund Managers Directive

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<u>DOC-2011-23</u> 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

<u>DOC-2011-20</u> 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-2012-11 Guide for retail and professional private equity funds

<u>DOC-2012-06 Procedures for making disclosures and introducing changes, preparation of a prospectus and reporting for specialised professional funds and professional private equity funds</u>

<u>DOC-2011-23</u> 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

<u>DOC-2011-20</u> 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

DOC-2006-18 Calculation period for the net asset values of funds of alternative funds and retail investment funds

DOC-2005-14 Q&A on professional specialised investment funds

II. 1.3.4. Specific provisions applicable to employee investment undertakings

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DOC-2012-10 Guide relating to employee investment undertakings

II. 1.3.5. Specific provisions applicable to securitisation vehicles

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DOC-2011-08 Q&A on foreign exchange trading

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DOC-2012-19 Programme of operations guide for asset management companies and self-managed collective investments

DOC-2016-02 Organisation of asset management companies for managing loan-granting AIFs

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

DOC-2023-03 MiFID II remuneration requirements

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

<u>DOC-2012-01 Risk management organisation for collective investment undertaking management activities and discretionary portfolio management investment services</u>

<u>DOC-2014-06 Guide to the organisation of risk management, compliance and control systems within portfolio asset</u> <u>management companies</u>

<u>DOC-2009-29 Questions-Réponses sur le dispositif de vérification du niveau de connaissances minimales des acteurs de marché DOC-2021-04 Compliance function requirements</u>

DOC-2007-24 Q&A on the organisational rules of investment services providers

<u>DOC-2006-09 Examination for the issuance of professional licences to compliance and internal control officers and investment services compliance officers</u>

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<u>DOC-2019-12 Professional obligations of investment services providers to retail clients with regard to third-party portfolio management</u>

DOC-2007-25 Q&A on the rules of conduct applicable to investment services providers

<u>DOC-2013-10</u> Rémunérations et avantages reçus dans le cadre de la commercialisation et de la gestion sous mandat <u>d'instruments financiers</u>

DOC-2014-07 Guide to best execution

<u>DOC-2008-04</u> 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

DOC-2017-07 Future performance simulations

DOC-2016-14 Sound remuneration policies under the UCITS Directive

DOC-2005-19 Exercising voting rights for asset management companies

DOC-2013-11 Remuneration policies for alternative investment fund managers

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<u>DOC-2016-01</u> Authorisation procedure for investment firms acting as a UCITS depositary – Review procedure for the performance specifications of other UCITS and AIF depositaries

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

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DOC-2012-07 Complaint handling

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

DOC-2020-04 Requirements applicable to professional associations of financial investment advisors

DOC-2013-07 Requirements relating to the professional competence of financial investment advisers, the updating of their

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DOC-2010-05 Marketing of complex financial instruments

DOC-2014-04 Guide to UCITS, AIF and other investment fund marketing regimes in France

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DOC-2014-02 Disclosure to investors in unauthorised or undeclared AIFs

<u>DOC-2017-06 Procedure for preparing and registering an information document that must be filed with the AMF by intermediaries in miscellaneous assets</u>

<u>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</u>

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

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<u>DOC-2022-05 ESMA guidelines on common procedures and methodologies on supervisory review and evaluation process of CCPs under Article 21 of EMIR</u>

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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