



Book III - Service providers

Title I - Investment services providers

Chapter II - Organisational rules

Section 4 - Professional licences

Sub-section 3 - Professional licenses issued by investment services providers

General regulation of the AMF

Article 312-37 into force since 03 January 2018

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Article 312-37

Before any of the professional licences referred to in Article 312-36 are issued, the compliance officer for investment services shall ensure that the applicant is fit and proper, that it has met the procedural requirements established by the investment services provider to ascertain that applicants are cognisant of their professional obligations, and that it meets the conditions set forth in Article 312-3.

The compliance officer may obtain from AMF, upon request made by registered or hand-delivered letter with acknowledgment of receipt, a record of any disciplinary actions that the AMF has taken against the applicant during the previous five years.

📌 Version into force since 3 January 2018

