



## Book III - Service providers

### Title I bis - Asset management companies of AIFs

#### Chapter I - Procedures for authorisation, programme of operations and passport

##### Section 1 - Authorisation and programme of operations

##### Sub-section 1 - Authorisation

### General regulation of the AMF

### Article 316-3 into force since 03 January 2018

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### Article 316-3

The authorisation of asset management companies referred to in Article L. 532-9 of the Monetary and Financial Code requires submission to the AMF of an application specifying the scope of the authorisation, together with a file complying with the model provided for in Article R. 532-10 of the said Code.

The application file must contain the following information:

- 1 • Information on the persons who effectively manage the activities of the asset management company;
- 2 • Information on the identity of the shareholders or members, either direct or indirect, of the asset management company who have qualifying holdings, and the amounts of such holdings;
- 3 • A programme of operations for each of the services that the asset management company intends to provide, specifying the conditions in which it expects to provide those services and indicating the type of transactions envisaged and its organisational structure. This programme of operations is completed, as appropriate, by any additional information

2023-10-10

corresponding to the assets used by the asset management company;

- 4 • Information about remuneration policies and practices;
- 5 • Information on the terms it has defined for delegating or sub-delegating its asset management company functions to third parties;
- 6 • Information about each AIF it manages or intends to manage;
- 7 • The rules or instruments of incorporation of each AIF it intends to manage;
- 8 • Information on the arrangements made for the appointment of the depositary for each AIF it intends to manage;
- 9 • All or any addition information provided for in the third paragraph of Article L. 214-24-19 of the Monetary and Financial Code for each AIF it manages or intends to manage.

If the asset management company is already authorised by the AMF under Directive 2009/65/ CE of the European Parliament and Council of 13 July 2009, it is not required to provide the AMF again with the information or documents it already supplied to it in its authorisation application under the said directive, provided that this information and these documents are up to date.

The AMF shall issue an acknowledgement of receipt when it receives this file.

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