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Reference (eg. DOC-2020-02), keywords...



## IV - Marketing - Customer relationship

### IV. 2 - Specific provisions applicable to certain products

Applicable from 9 December 2021

Position DOC-2010-05

This page is not available in English at the moment

#### Archives

- ✓ From 08 October 2018 to 08 December 2021 | Position DOC-2010-05

#### Marketing of complex financial instruments

As structured funds and complex debt securities present risks that retail clients cannot easily understand, the AMF reminds professionals (investment services providers, financial investment advisers and direct

marketers) of their obligations when marketing these products, and lays down four criteria for appraising mis-selling risks.

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### Reference texts

Article L. 533-11 to L. 533-13 of the Monetary and Financial Code (in French only) [↗](#)

Article L. 541-8-1 of the Monetary and Financial Code (in French only) [↗](#)

Article L.533-22-2-1 of the Monetary and Financial (in French only) [↗](#)

Articles 212-28 I, 314-6, 325-12, 411-126 and 421-25 of the General Regulation [↗](#)

### Links

Prudential Supervisory Authority - Recommendation relating to the marketing of unit-linked life insurance policies composed of complex financial instruments, issued in accordance with paragraph 3 of point II of Article L. 612-1 of the French monetary and financial code (2010-R-01) [↗](#)

From 12 January 2017 to 07 October 2018 | Position DOC-2010-05

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Articles 314-33 to 314-36 of the AMF General Regulation [↗](#)

Article 314-10 [↗](#)

Article 314-18 [↗](#)

Article 325-5 [↗](#)

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## ▼ From 20 September 2013 to 11 January 2017 | Position DOC-2010-05

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📄 Articles 314-33 to 314-36 of the AMF General Regulation [↗](#)

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