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## **The Enforcement Committee of the Autorité des Marchés Financiers fines an investment services provider and three financial investment advisors for breaching their professional obligations**

Published on July 8, 2019

In its decision of 2 July 2019, the Committee issued a reprimand to Invest Securities, an investment services provider (ISP), and fined it €90,000 for failing to carry out the necessary checks prior to the marketing of a British alternative investment fund (AIF) that was not authorised in France. The Committee also fined Mr Carlotta and the companies Portal Conseil and Exec Finance, €20,000, €50,000 and €60,000 respectively for having recommended this product to some of their clients, in their capacity as financial investment advisors.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines a company for breaching its professional obligations as a financial investment advisor, and its chief**

### **executive officer**

Published on July 4, 2019

In its decision of 1 July 2019, the Committee fined Prado Paradis Patrimoine €50,000 for breaches of several of its professional obligations. It also imposed a fine of €100,000 on its CEO, Solange Dahan, and issued a reprimand to her.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines a portfolio asset management company for breaches of its professional obligations**

Published on July 1, 2019

In its decision of 25 June 2019, the Enforcement Committee fined Octo Asset Management €70,000 for breaching several of its professional obligations, taking into consideration the many corrective measures implemented by the company after the audit.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines a financial investment advisor for failing to comply with its obligations within the framework of its**

### **order reception and transmission activity**

Published on June 18, 2019

In its decision of 13 June 2019, the Committee fined Infinitis €20,000 for breaching its professional obligations within the framework of its order reception and transmission activity. However, the Committee found that objections pertaining to the provision of a non-guaranteed investment service and to the absence of a procedure for selecting the products and suppliers referenced on the company's platform were not characterised.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines Hedios**

### **Patrimoine for breaching its professional obligations as a financial investment advisor**

Published on May 23, 2019

In its decision of 20 May 2019, the Enforcement Committee declared that it had jurisdiction to examine objections brought against Hedios Patrimoine, issued a warning to the company and imposed a fine of €50,000 for breaching several of its professional obligations.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines Iliad for breach of its disclosure requirements as well as one of its executives, Mr Maxime Lombardini for**

### **breaching insider dealing regulations**

Published on April 29, 2019

In its decision of 25 April 2019, the Enforcement Committee fined Iliad €100,000 and Mr Maxime Lombardini, chief executive officer of Iliad during the relevant period, for €600,000. It cleared an investment services provider as well as two of its employees at the time of the facts, and a fund manager.

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## **The Enforcement Committee of the Autorité des Marchés Financiers fines a company engaged in a recovery plan for having concealed its difficulties, and its executive**

### **corporate officers (and their companies) for breaches of insider dealing regulations**

Published on April 25, 2019

In its decision of 17 April 2019, the Committee handed down fines to Montaigne Fashion Group, the company's former Chairman and

Mentions légales:

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## AMF

CEO, Mr Edouard Hubsch, and its former Deputy Chief Executive Officer in charge of Communication, Mr Philippe Gellman, for amounts of €90,000, €250,000 and €180,000 respectively. It also imposed fines on three companies related to the corporate officers, Jekiti Mar Capital, Financière du Phœnix and SCI Plainville, for amounts of €75,000, €225,000 and €10,000.

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### **The Enforcement Committee of the Autorité des Marchés Financiers fines two employees of the Zodiac Aerospace Group for breaching insider dealing regulations**

Published on March 18, 2019

In its decision of 13 March 2019, the Committee fined Mr Gilles Debray €350,000 and Mr Christian Novella €180,000 for failing to fulfil their obligation to refrain from using inside information to which they had access in the performance of their duties.

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### **The Enforcement Committee of the Autorité des Marchés Financiers clears three persons of breaches of insider dealing regulations**

Published on March 12, 2019

In its decision of 6 March 2019, the Enforcement Committee cleared three persons accused of having breached their obligation to refrain from using and/or disclosing inside information and from recommending the acquisition of securities on the basis of such information.

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### **The Enforcement Committee of the Autorité des Marchés Financiers fines a company for breaching its professional obligations as a financial investment advisor, and imposes a financial penalty on its chief executive officer**

Published on January 31, 2019

In its decision of 24 January 2019, the Committee fined Novactifs Patrimoine – known as Ageo Patrimoine at the time of the facts – €250,000 for breaches of several of its professional obligations. It also imposed a financial penalty of €100,000 on its CEO, Mr Thierry Marchand, and issued a warning against him.

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