



SPOT inspection campaigns

Summary of SPOT inspections on cybersecurity systems of asset management companies

Published on December 16, 2019

As announced in the AMF's supervision priorities for 2019, the first series of SPOT inspections for 2019 targeting asset management companies consisted of a review of the cybersecurity systems of five market participants.

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Summary of SPOT inspections on EMIR reporting governance

Published on December 9, 2019

As part of its new Supervision#2022 strategy, the AMF announced its intention to conduct short, theme-based inspections known as "SPOT" (Supervision des Pratiques Opérationnelle et Thématique – operational and thematic supervision of practices) inspections, as well as its willingness to share the lessons learned from these exercises. It is now delivering a review of these short inspections carried out in 2019 with five investment service providers, excluding asset management companies, on the subject of EMIR reporting governance (mandatory reporting of transactions to trade repositories).

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Summary of SPOT inspections on securities financing transactions by asset

Published on December 4, 2019

This document is a review of SPOT inspections on securities financing transactions (SFTs), with regard to organisation, implementation by the funds, related controls and information provided to investors by the asset management companies (AMCs).

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Summary of SPOT inspections on the SRI management systems of asset management companies and the integration of ESG criteria

Published on July 15, 2019

As part of its new #Supervision2022 strategy, the AMF announced at the beginning of the year its intention to conduct briefer and more thematic "SPOT" inspections (Supervision des Pratiques Opérationnelle et Thématique), as well as its willingness to share the lessons learned from these exercises. Today it is publishing a summary of the SPOT inspections carried out between September 2018 and January 2019 on the SRI (Socially Responsible Investment) management systems of asset management companies.

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Summary of SPOT inspections on portfolio management

Published on May 21, 2019

As part of its new #Supervision2022 strategy, the Autorité des marchés financiers is carrying out briefer and more thematic "SPOT" inspections (Supervision des Pratiques Opérationnelle et Thématique). Today the AMF publishes a summary of the SPOT inspections carried out in 2018 on portfolio management, on the themes of compliance of discretionary mandates and fees in portfolio management.

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Summary of Spot inspections on the valuation of unlisted holdings in private equity management companies

Published on December 21, 2018

As part of its new #Supervision2022 strategy, the AMF announced at the beginning of the year its intention to conduct briefer and more thematic "SPOT" inspections (Supervision des Pratiques Opérationnelle et Thématique), as well as its willingness to share the lessons learned from these exercises. Today it is publishing a summary of the SPOT inspections carried out in 2018 on the valuation of unlisted holdings by private equity management companies.

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Summary of SPOT Inspections on Regulatory capital

Published on November 22, 2018

As part of its new #Supervision2022 strategy, at the beginning of the year the AMF announced its intention to conduct briefer and more thematic inspections named "SPOT" (Supervision des Pratiques Opérationnelle et Thématique ? Operational and Thematic Supervision of Practices), as well as its willingness to share the lessons learned from these exercises. Today it publishes the summary of the SPOT inspections focusing on the review of the own funds of asset management companies (AMCs).

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Summary of Spot Inspections on MIFID I / MIFID II clients' knowledge and experience

Published on October 18, 2018

As part of its new #Supervision2022 strategy, the Autorité des marchés financiers is carrying out new types of inspection, known as SPOT (Supervision des Pratiques Opérationnelle et Thématique - operational and thematic supervision of practices). Today it publishes the summary of five of these inspections, carried out at the beginning of 2018 and focusing on the gathering of information on clients, particularly that relating to their investment knowledge and experience, in application of the rules set out in the European directives MiFID I and MiFID II

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