

## Policy IV - Marketing - Customer relationship

### Table of contents

- IV. 1 - General provisions
  - Position - Recommendation DOC-2006-23: Questions and answers on the rules that apply to financial investment advisers
  - Position DOC-2018-04: Guidelines on MIFID II product governance requirements
  - Position DOC-2018-03: Placing of financial instruments without a firm commitment basis, investment advice and consultancy services provided to firms in relation to capital structure, industrial strategy and mergers and acquisitions
  - Recommendation DOC-2017-07: Future performance simulations
  - Position DOC-2013-02: Collecting 'know-your-client' information
  - Position - Recommendation DOC-2017-08: Position/Recommendation supplementing Position 2013-02 on collecting know-your-client information
  - Instruction DOC-2012-07: Complaint handling
  - Position - Recommendation DOC-2014-05: Agreements on the distribution of financial instruments
  - Position DOC-2012-08: Placement services and marketing of financial instruments
  - Instruction DOC-2013-07: Requirements relating to the professional competence of financial investment advisers, the updating of their knowledge, and reporting to the AMF on their activity and that of associations
  - Position - Recommendation DOC-2008-23 : Questions and answers on the concept of investment service of investment advice
- IV. 2 - Specific provisions applicable to certain products
  - Instruction DOC-2014-02: Disclosure to investors in unauthorised or undeclared AIFs
  - Instruction DOC-2017-06: Procedure for preparing and registering an information document that must be filed with the AMF by intermediaries in miscellaneous assets
  - Position - Recommendation DOC-2011-24: A guide to drafting collective investment marketing materials and distributing collective investments
  - Position DOC-2013-13: Guide pour la rédaction des documents commerciaux dans le cadre de la commercialisation des titres de créance structurés
  - Position DOC-2010-05: Marketing of complex financial instruments
  - Position DOC-2014-04: Guide to UCITS, AIF and other investment fund marketing regimes in France
  - Instruction DOC-2014-03: Procedure for marketing units or shares of AIFs
  - Instruction DOC-2008-04: Application of business conduct rules to marketing of units or shares in UCITS or AIFs by asset management companies, management companies or managers
  - Position DOC-2013-12: Requirement to offer a guarantee (of the formula and/or capital, as appropriate) for structured UCITS and AIFs, "guaranteed" UCITS and AIFs and structured debt securities issued by special purpose entities and marketed to the general public
  - Position DOC-2008-20: Questions and answers about the marketing of investment vehicles primarily for tax deduction purposes