



## Proposed Technical Guidelines for the assessment of the knowledge and competence of persons giving information and advice.

24 April 2017

The Guidelines for the assessment of the knowledge and competence of persons giving information and advice, the proposal for which has been released for public information, is one of the goals set out in the CNMV's Activity Plan. This Proposal sets out the criteria, practices and procedures that the CNMV considers appropriate in order for firms to fulfil their obligations with regard to assessing persons who give information or advice to their clients. It also sets out the criteria that the CNMV will apply in its role as supervisor.

The text of the proposal, which is available via the following link, sets out the reasons for drafting the Technical Guidelines.

[Text of the proposed Technical Guidelines \(link\).](#)

The deadline for submissions by interested parties is 10 May 2017.

Submissions may be sent to the following address: [dare@cnmv.es](mailto:dare@cnmv.es).