23 June 2021

Annex I

ISLHs shall expressly list down each service, activity, or pertinent information as applicable.

**Please tick the appropriate boxes to indicate the licensable activity(ies) the entity is authorised to undertake:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Dealing on own account | Execution of orders on behalf of other persons | Reception and Transmission of Orders | Management | Investment Advice | Nominee | Placing of instruments without a firm commitment basis | Underwriting/placing of instruments on a firm commitment basis | Trustee/Custody | Operation of an MTF | Operation of an OTF |
| 1. Transferable Securities |  |  |  |  |  |  |  |  |  |  |  |
| 1. Money Market Instruments |  |  |  |  |  |  |  |  |  |  |  |
| 1. Units in collective investment schemes |  |  |  |  |  |  |  |  |  |  |  |
| 1. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, or other derivative instruments, financial indices or financial measures which may be settled physically or in cash |  |  |  |  |  |  |  |  |  |  |  |
| 1. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties otherwise than by reason of a default or other termination event |  |  |  |  |  |  |  |  |  |  |  |
| 1. Options, futures, swaps, and any other derivative contracts relating to commodities, that can be physically settled provided that they are traded on a regulated market, within the meaning of the Financial Markets Act, or a Multilateral Trading Facility, or an Organised Trading Facility, except for wholesale energy products traded on an Organised Trading Facility that must by physically settled. |  |  |  |  |  |  |  |  |  |  |  |
| 1. Options, futures, swaps, forwards and any other derivative contracts relating to commodities, that can be physically settled, are not otherwise mentioned in point 6 above, are not for commercial purposes, and which have the characteristics of other derivative financial instruments |  |  |  |  |  |  |  |  |  |  |  |
| 1. Derivative instruments for the transfer of credit risk |  |  |  |  |  |  |  |  |  |  |  |
| 1. Rights under a contract for differences or under any other contract the purpose or intended purpose of which is to secure a profit or avoid a loss by reference to fluctuations in the value or price for property of any description or in an index or other factor designated for that purpose in the contract |  |  |  |  |  |  |  |  |  |  |  |
| 1. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to climatic variables, freight rates, emission allowances or inflation rates or other official economic statistics that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event) as well as any other derivative contracts relating to assets, rights, obligations, indices and measures not otherwise mentioned in Schedule 2 to the Act, which have the characteristics of other derivative instruments, having regard to whether, inter alia, they are traded on a regulated market within the meaning of the Financial Markets Act, or a Multilateral Trading Facility, or an Organised Trading Facility |  |  |  |  |  |  |  |  |  |  |  |
| 1. Certificates or other instruments which confer property rights in respect of any instrument falling within Schedule 2 to the Act |  |  |  |  |  |  |  |  |  |  |  |
| 1. Emission allowances, consisting of any units recognised for compliance with the requirements of Directive 2003/87/EC (Emissions Trading Scheme). |  |  |  |  |  |  |  |  |  |  |  |
| 1. Foreign exchange acquired or held for investment purpose |  |  |  |  |  |  |  |  |  |  |  |

**Please tick the appropriate boxes to show the nature of the clients serviced by the licensed entity:**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Dealing on own account | Execution of orders on behalf of other persons | Reception and Transmission of Orders | Management | Investment Advice | Nominee | Placing of instruments without a firm commitment basis | Underwriting/placing of instruments on a firm commitment basis | Trustee/Custody | Operation of a Multilateral Trading Facility |
| Retail Clients |  |  |  |  |  |  |  |  |  |  |
| Professional Clients (including collective investment schemes) |  |  |  |  |  |  |  |  |  |  |
| Professional Clients (excluding collective investment schemes) |  |  |  |  |  |  |  |  |  |  |
| Collective Investment Schemes |  |  |  |  |  |  |  |  |  |  |
| Eligible Counterparties |  |  |  |  |  |  |  |  |  |  |

**Does the licensed entity hold clients’ money and/or assets?** (If Yes, please provide a brief description of how and in relation to which investment service, this is being undertaken)

Choose an item.

Click or tap here to enter text.

**Does the licensed entity control clients’ money and/or assets?** (If Yes, please provide a brief description of how and in relation to which investment service, this is being undertaken)

Choose an item.

Click or tap here to enter text.

**Please indicate whether the licensed entity provides any ancillary services in accordance with Annex I Section B of Directive 2014/65/EU**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Retail Clients | Professional Clients (including collective investment schemes) | Professional Clients (excluding collective investment schemes) | Collective Investment Schemes | Eligible Counterparties |
| Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding maintaining securities accounts at the top tier level. |  |  |  |  |  |
| Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction. |  |  |  |  |  |
| Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings. |  |  |  |  |  |
| Foreign exchange services where there are connected to the provision of investment services. |  |  |  |  |  |
| Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments. |  |  |  |  |  |
| Services relating to underwriting. |  |  |  |  |  |