|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **LISTA DE SERVICIOS Y ACTIVIDADES DE INVERSION, SERVICIOS AUXILIARES, INSTRUMENTOS FINANCIEROS Y ACTIVIDADES ACCESORIAS de SGC** | | | | | | | | | | | | | | | | | | | | | | | | |
| **DENOMINACIÓN EMPRESA DE SERVICIOS DE INVERSIÓN:** | | | | |  | | | | | | | | | | | | | | | | | | | |
| **ACTIVIDADES** | | | | |  | **INSTRUMENTOS FINANCIEROS (ANEXO del TRLMV, por remisión del artículo 2)** | | | | | | | | | | | | | | |  | **CLIENTES** | | |
|  |  |  |  |  |  |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |
| **SERVICIOS Y ACTIVIDADES DE INVERSIÓN (art. 140 TRLMV)** |  |  |  |  |  | **a)** | | **b)** | | **c)** | | **d)** | | **e)** | **f)** | **g)** | **h)** | **i)** | **j)** | **k)** |  | **Minoristas** | **Profesionales** | **Contrapartes elegibles** |
|  |  |  |  |  |  |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |
| Gestión de carteras. |  | **□** |  | □ |  | □ | | □ | | □ | | □ | | □ | □ | □ | □ | □ | □ | □ |  | □ | □ |  |
| Asesoramiento en materia de inversión. |  | **□** |  | □ |  | □ | | □ | | □ | | □ | | □ | □ | □ | □ | □ | □ | □ |  | □ | □ |  |
|  |  |  |  |  |  |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |
| **SERVICIOS AUXILIARES (art. 141 TRLMV)** |  |  |  |  |  |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |
| Asesoramiento a empresas sobre estructura de capital, estrategia industrial y cuestiones afines, así como el asesoramiento y demás servicios en relación con fusiones y adquisiciones de empresas. |  | **□** |  | □ |  |  | | | | | | | | | | | | | | |  | □ | □ | □ |
| Elaboración de informes de inversiones y análisis financieros u otras formas de recomendación general relativa a las operaciones sobre instrumentos financieros. |  | □ |  | □ |  | □ | □ | | □ | | □ | | □ | | □ | □ | □ | □ | □ | □ |  | □ | □ | □ |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  | |  | |  | |  | | |  |
| **ACTIVIDADES ACCESORIAS (art. 142 del TRLMV)** | | | | | | | |  |  |  |  |  |  |  |  |  | |  | |  | |  | | |  |
|  |  | |  | |  |  | |  |  |  |  |  |  |  |  |  | |  | |  | |  | | |  |
| **SERVICIOS Y ACTIVIDADES DE INVERSION/ SERVICIOS AUXILIARES SOBRE INSTRUMENTOS NO CONTEMPLADOS EN EL ARTÍCULO 2 DEL TRLMV** |  | |  | |  |  | |  | **INSTRUMENTOS** | | | | | | | |  | | **CLIENTES** | | | | | | |
|  |  | |  | |  |  | |  |  |  |  |  |  |  |  |  | |  | |  |  | | |  | |
|  |  | |  | |  |  | |  |  |  |  |  |  |  |  |  | |  | |  |  | | |  | |
|  |  | |  | |  |  | |  |  | | | | | | | |  | | **Minoristas** | | **Profesionales** | | | **Contrapartes elegibles** | |
|  |  | | □ | |  | □ | |  |  | | | | | | | |  | | □ | | □ | | | □ | |
|  |  | | □ | |  | □ | |  |  | | | | | | | |  | | □ | | □ | | | □ | |
|  |  | | □ | |  | □ | |  |  | | | | | | | |  | | □ | | □ | | | □ | |
|  |  | |  | |  |  | |  |  |  |  |  |  |  |  |  | |  | |  |  | | |  | |
| **ACTIVIDADES QUE SUPONEN PROLONGACIÓN DEL NEGOCIO** |  | |  | |  |  | |  | **DETALLE** | | | | | | | |  | | **CLIENTES** | | | | | | |
|  |  | |  | |  |  | |  |  |  |  |  |  |  |  |  | |  | |  | |  |  | | |
|  |  | |  | |  |  | |  |  | | | | | | | |  | | **Minoristas** | | **Profesionales** | | | **Contrapartes elegibles** | |
|  |  | | □ | |  | □ | |  |  | | | | | | | |  | | □ | | □ | | | □ | |
|  |  | | □ | |  | □ | |  |  | | | | | | | |  | | □ | | □ | | | □ | |

|  |  |
| --- | --- |
| **DENOMINACIÓN EMPRESA DE SERVICIOS DE INVERSIÓN:** |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **= DESCRIPCIÓN DE LAS PARTICULARIDADES O LIMITACIONES EN LA PRESTACIÓN DE LOS SERVICIOS CONTEMPLADOS EN LA LISTA DE SERVICIOS Y ACTIVIDADES DE INVERSIÓN / SERVICIOS AUXILIARES** |  |  |  |  |  | **SERVICIOS Y ACTIVIDADES DE INVERSION/ SERVICIOS AUXILIARES Y OTRAS ACTIVIDADES** | **EXPLICACIÓN** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **INSTRUCCIONES** |  |  | **=** | Marcar si realiza los distintos servicios o actividades (en caso contrario, dejar en blanco) | | | |
|  |  |  |  | | | |
|  |  | **=** | Marcar esa opción si existen restricciones en su lista de servicios y actividades de inversión / servicios auxiliares, o se ha de precisar su alcance | | | |
|  |  |  |  | |  | |
|  |  |  |  | |  | |
|  |  |  |  | |  | |
|  |  |  |  | |  | |