**ANNEX I**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| **LIST OF INVESTMENT SERVICES AND ACTIVITIES / ANCILLARY SERVICES and FINANCIAL INSTRUMENTS** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **NAME OF THE THIRD COUNTRY INVESTMENT FIRM:** | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **ACTIVITIES** | | | | | | |  | **FINANCIAL INSTRUMENTS**  **(ANNEX OF SMA, by reference to Article 2)** | | | | | | | | | | | | | | | | | | | | |  | **CLIENTS** | | | | | |
|  |  | |  | |  |  |  |  |  |  |  | |  | | |  | |  | |  | |  | |  | |  | | |  |  | |  | | |  |
| **INVESTMENT SERVICES AND ACTIVITIES (Art. 140 of SMA))** |  | |  | |  |  |  | **a)** | **b)** | **c)** | **d)** | | **e)** | | | **f)** | | **g)** | | **h)** | | **i)** | | **j)** | | **k)** | | |  | **Professional** | | | **Elegible counterparties** | | | |
|  |  | |  | |  |  |  |  |  |  |  | |  | | |  | |  | |  | |  | |  | |  | | |  |  | | |  | | | |
| Reception and transmission of orders in relation to one or more financial instruments. |  | | **□** | |  | **□** |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Execution of orders on behalf of clients. |  | | **□** | |  | **□** |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Dealing on own account. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Portfolio management. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | |  | | | |
| Placing of financial instruments without a firm commitment basis. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Investment advice. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | |  | | |
| **ANCILLARY SERVICES (art. 141 SMA)** |  | |  | |  |  |  |  |  |  |  | |  | | |  | |  | |  | |  | |  | |  | | |  |  | | |  | | | |
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| Safekeeping and administration of financial instruments for the account of clients. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments included in Article 2 of SMA, 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. |  | | **□** | |  | □ |  |  | | | | | | | | | | | | | | | | | | | | |  | □ | | | □ | | | |
| Services related to underwriting issues or placements of financial instruments. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments. |  | | □ | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Foreign exchange services where these are connected to the provision of investment services. |  | | **□** | |  | □ |  | □ | □ | □ | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | □ | | |  | □ | | | □ | | | |
| Investment services and activities and ancillary services related to the underlying of the derivatives included under paragraphs e), f), g) y j) of Annex of SMA where these are connected to the provision of investment or ancillary services. |  | | **□** | |  | □ |  |  | | | | | □ | | | □ | | □ | |  | | | | □ | |  | | |  | □ | | | □ | | | |
| **THE FIRM KEEPS CLIENTS´ INSTRUMENTAL AND TEMPORARY CREDIT ACCOUNTS** | |  | **YES** |  | | **NO** |  | | | | |  | |  |  | |  | |  | |  | |  | |  | |  |  | | |  | | |  | |
|  | **□** |  | | □ |  | | | | |  | |  |  | |  | |  | |  | |  | |  | |  |  | | |  | | |  | |

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| **= DESCRIPTION OF THE PARTICULARITIES OR LIMITATIONS ON THE PROVISION OF THE SERVICES UNDERTHE PROGRAMME OF OPERATIONS** |  |  |  |  |  | **INVESTMENT AND/OR ANCILLARY SERVICES AND OTHER ACTIVITIES** | | **EXPLANATION** |
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| **INSTRUCTIONS** |  |  | **=** | Check if the investment firm provides the different services or activities (otherwise, leave blank)) | | | | |
|  |  |  |  | | | | |
|  |  | **=** | Check this option if there are particularities or limitations on the provision of the services foreseen | | | | |
|  |  |  | Example 1: | | | If the investment service of reception and transmission of orders refers exclusively to the activity of marketing of Collective Investment Schemes (CISs) that should be stated. | |
|  |  |  | Example 2: | | | If the provision of the ancillary service of safekeeping and administration in relation to the instruments under article 2 of the SMA will be provided solely for the purposes of keeping, on behalf of its clients, the record on an individual basis of ultimate ownership of the stakes in CISs which are marketed by the investment firm and which are entered in its name on behalf of clients in a global account, that should be indicated. | |
|  |  |  | Example 3: | | | If the investment firm provides the service of execution of orders on behalf of its clients and intends to acquire membership in any regulated market or MTF or OTF or to join securities clearing and settlement systems, the investment firm should specify it. If the firm has the intention to provide Direct Electronic Access to the relevant trading venue, detail whether it is direct or sponsored. | |
|  |  |  | Example 4: | | | If the investment firm has marked the investment service of dealing on own account with the exclusive purpose of executing clients´ orders or accessing a clearing and settlement system or a recognized market acting as agent or executing clients´ orders, it should be specified. | |