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## Falkenstein und Stein

19. October 2018 | Investor Warning (https://www.fma.gv.at/en/category/news-en/investorwarning/)

Pursuant to Article 92 para. 11 first sentence of the Securities Supervision Act of 2018 (WAG 2018, Wertpapieraufsichtsgesetz 2018), the Austrian Financial Market Authority (FMA) may disclose to the general public by publication on the Internet, or in any other newspaper with nationwide circulation, that a particular natural or legal person (person) is not entitled to carry out certain investment services (Article 3 para. 2 nos. 1 to 4 WAG 2018), provided that said person has given cause for such action and informing the general public is deemed necessary and reasonable with regard to possible disadvantages of the person concerned.

By publication in the official gazette "Amtsblatt zur Wiener Zeitung" of 19 October 2018, the FMA hereby informs that

## Falkenstein und Stein

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is not entitled to provide investment services in Austria that require a licence. The provider is therefore not permitted to provide commercial investment advice in relation to financial instruments (Article 3 para. 2 no. 1 WAG 2018).

« Merger of Raiffeisenbank Langen-Thal reg.Gen.m.b.H. with Raiffeisenbank Weissachtal <u>eGen</u> (https://www.fma.gv.at/en/mergerof-raiffeisenbank-langen-thal-reggen-m-b-h-with-raiffeisenbankweissachtal-egen/)

Announcement: FMA imposes sanction against CEEREF S.A. for a breach against the Stock Exchange Act (BörseG; Börsegesetz) (https://www.fma.gv.at/en/announcementfma-imposes-sanction-againstceeref-s-a-for-a-breach-againstthe-stock-exchange-act-boersegboersegesetz/) »

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