**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>A &amp; J WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sawfords Bigfrith Lane Cookham Dean</td>
</tr>
<tr>
<td>City:</td>
<td>Sl69ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075634/18 of 20/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4789</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0075634/18 of 20/03/2018)
2) Placing of financial instruments without a firm commitment basis (Notification 0075634/18 of 20/03/2018)
3) Investment advice (Notification 0075634/18 of 20/03/2018)
4) Execution of orders on behalf of clients (Notification 0075634/18 of 20/03/2018)
5) Portfolio management (Notification 0075634/18 of 20/03/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075634/18 of 20/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>A J ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>311 Chase Road</td>
</tr>
<tr>
<td>City:</td>
<td>N14 6js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088325/16 of 05/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4479</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0088325/16 of 05/10/2016)
2) Execution of orders on behalf of clients (Notification 0088325/16 of 05/10/2016)
3) Portfolio management (Notification 0088325/16 of 05/10/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088325/16 of 05/10/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AA ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Tadena Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw10 0pz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7014782 of 19/02/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1758</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7014782 of 19/02/2007)
2) Investment advice (Notification 7014782 of 19/02/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7014782 of 19/02/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AA ADVISORS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>82 Eaton Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 8au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0796246/19 of 11/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5138</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0796246/19 of 11/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AAA TRADE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>205, Archiepiskopou Makariou lii</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0095896/14 of 12/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4071</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0074000/15 of 24/09/2015)
2) Investment advice (Notification 0074000/15 of 24/09/2015)
3) Portfolio management (Notification 0074000/15 of 24/09/2015)
4) 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 (Notification 0095896/14 of 12/12/2014)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0095896/14 of 12/12/2014)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 0095896/14 of 12/12/2014)
7) Execution of orders on behalf of clients (Notification 0095896/14 of 12/12/2014)
8) Dealing on own account (Notification 0095896/14 of 12/12/2014)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095896/14 of 12/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AARON TAWNY MORTGAGES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Market Place Northamptonshire</td>
</tr>
<tr>
<td>City:</td>
<td>Nn16 0al - Kettering</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8065874 of 14/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2351</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8065874 of 14/07/2008)
2) Investment advice (Notification 8065874 of 14/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8065874 of 14/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ABBEY STOCKBROKERS LIMITED

Registered office: 2 Triton Square

City: Nw13an - Essex

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 71

SERVICES PROVIDED IN ITALY

1) 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 (Notification 96000620 of 03/01/1996)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

5) Portfolio management (Notification 96000620 of 03/01/1996)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**Date:** 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABBOTT CAPITAL (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Davis Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0089104/18 of 29/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4798</td>
</tr>
</tbody>
</table>

#### Services Provided in Italy

1. Investment advice (Notification 0089104/18 of 29/03/2018)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0089104/18 of 29/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABERDEEN ASSET INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Morrison Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hz - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98087034 of 06/11/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>740</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 12060263 of 18/07/2012)
2) Portfolio management (Notification 12060263 of 18/07/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12060263 of 18/07/2012)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) Investment advice (Notification 98087034 of 06/11/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABERDEEN ASSET MANAGERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bow Bells House 1 Bread Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9hh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9015336 of 18/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2524</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9015336 of 18/02/2009)
2) Placing of financial instruments without a firm commitment basis (Notification 9015336 of 18/02/2009)
3) Investment advice (Notification 9015336 of 18/02/2009)
4) Execution of orders on behalf of clients (Notification 9015336 of 18/02/2009)
5) Portfolio management (Notification 9015336 of 18/02/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9015336 of 18/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABERDEEN INVESTMENT SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bow Bells House 1 Bread Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9hh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99040301 of 20/05/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>784</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 99040301 of 20/05/1999)
2) Execution of orders on behalf of clients (Notification 99040301 of 20/05/1999)
3) Portfolio management (Notification 99040301 of 20/05/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99040301 of 20/05/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABERDEEN STANDARD CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 George Street Midlothian</td>
</tr>
<tr>
<td>City:</td>
<td>Eh2 2ll - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8021870 of 11/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2247</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8021870 of 11/03/2008)  
2) Portfolio management (Notification 8021870 of 11/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABERDEEN STANDARD INVESTMENTS IRELAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2-4 Merrion Row</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547992/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4929</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0547992/18 of 27/12/2018)
2) Investment advice (Notification 0547992/18 of 27/12/2018)
3) Execution of orders on behalf of clients (Notification 0547992/18 of 27/12/2018)
4) Portfolio management (Notification 0547992/18 of 27/12/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547992/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ABG Sundal Collier ASA

Registered office: Munkedamsveien 45

City: 0250 - Oslo

Country: Norvegia

Notification of Registration: n. 1078114 of 16/10/2001

Registration no.: 1187

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1078114 of 16/10/2001)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1078114 of 16/10/2001)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1078114 of 16/10/2001)

4) Services related to underwriting (Notification 1078114 of 16/10/2001)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 1078114 of 16/10/2001)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1078114 of 16/10/2001)

7) Placing of financial instruments without a firm commitment basis (Notification 1078114 of 16/10/2001)

8) Investment advice (Notification 1078114 of 16/10/2001)

9) Execution of orders on behalf of clients (Notification 1078114 of 16/10/2001)

10) Dealing on own account (Notification 1078114 of 16/10/2001)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 1078114 of 16/10/2001)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABG Sundal Collier Partners LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St. Martins Court, 10 Paternoster Row</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7ej - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11055815 of 21/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3176</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11055815 of 21/06/2011)
2) Investment advice (Notification 11055815 of 21/06/2011)
3) Execution of orders on behalf of clients (Notification 11055815 of 21/06/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11055815 of 21/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABS FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>184 Portswood Road</td>
</tr>
<tr>
<td>City:</td>
<td>So172nj - Southampton</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015661/17 of 02/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4557</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0015661/17 of 02/02/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015661/17 of 02/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0411968/18 of 16/10/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0411968/18 of 16/10/2018)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0411968/18 of 16/10/2018)
4) Placing of financial instruments without a firm commitment basis (Notification 0411968/18 of 16/10/2018)
5) Investment advice (Notification 0411968/18 of 16/10/2018)
6) Execution of orders on behalf of clients (Notification 0411968/18 of 16/10/2018)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0411968/18 of 16/10/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABSHIRE-SMITH GLOBAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 York Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6pz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13034443 of 23/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3680</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 13034443 of 23/04/2013)
2) Execution of orders on behalf of clients (Notification 13034443 of 23/04/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13034443 of 23/04/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABSOLUTE ENERGY CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11097137 of 06/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3309</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11097137 of 06/12/2011)

2) Investment advice (Notification 11097137 of 06/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABSOLUTE STRATEGY RESEARCH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1-2 Royal Exchange Building</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3lf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5096</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)
2) Investment advice (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ABUNDANCE INVESTMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>65-69 Shepherds Bush Green</td>
</tr>
<tr>
<td>City:</td>
<td>W128tb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094523/13 of 06/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3873</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094523/13 of 06/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACADIAN ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 9at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7027590 of 03/04/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1785</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0614250/19 of 09/10/2019)
2) Investment advice (Notification 7027590 of 03/04/2007)
3) Execution of orders on behalf of clients (Notification 7027590 of 03/04/2007)
4) Portfolio management (Notification 7027590 of 03/04/2007)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACANTHUS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6018463 of 24/02/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1623</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6018463 of 24/02/2006)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6018463 of 24/02/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACCESS CORPORATE FINANCE PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Red Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6pl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0159682/19 of 26/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4988</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0159682/19 of 26/03/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0159682/19 of 26/03/2019)
3) Investment advice (Notification 0159682/19 of 26/03/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159682/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACCESS EQUITY MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>54 Vincent Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1p 2nr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11017383 of 08/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3103</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11017383 of 08/03/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11017383 of 08/03/2011)
3) Services related to underwriting (Notification 11017383 of 08/03/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11017383 of 08/03/2011)
5) Placing of financial instruments without a firm commitment basis (Notification 11017383 of 08/03/2011)
6) Investment advice (Notification 11017383 of 08/03/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11017383 of 08/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACETOP FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor St Magnus House 3 Lower Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 6he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0136972/17 of 18/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4729</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0136972/17 of 18/12/2017)
2) Execution of orders on behalf of clients (Notification 0136972/17 of 18/12/2017)
3) Dealing on own account (Notification 0136972/17 of 18/12/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136972/17 of 18/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACG ADVISORS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>63 Catherine Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 6dy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0001121/16 of 08/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4297</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0001121/16 of 08/01/2016)
2) Execution of orders on behalf of clients (Notification 0001121/16 of 08/01/2016)
3) Portfolio management (Notification 0001121/16 of 08/01/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0001121/16 of 08/01/2016)
5) Dealing on own account (Notification 0086881/17 of 07/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACHMEA ASSET MANAGEMENT B.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Laan Van Malkenschoten 20</td>
</tr>
<tr>
<td>City:</td>
<td>7333 Np - Apeldoorn</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98058733 of 15/07/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>716</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 98058733 of 15/07/1998)  
2) Portfolio management (Notification 98058733 of 15/07/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACM GROUP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>154-160 Fleet Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a 2dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6041169 of 10/05/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1648</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 6041169 of 10/05/2006)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 6041169 of 10/05/2006)

3) Execution of orders on behalf of clients (Notification 6041169 of 10/05/2006)

4) Dealing on own account (Notification 6041169 of 10/05/2006)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6041169 of 10/05/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACOLIN EUROPE AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Reichenautrasse 11a-C</td>
</tr>
<tr>
<td>City:</td>
<td>78467 - Costanza</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099796/18 of 06/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4799</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0099796/18 of 06/04/2018)
2) Execution of orders on behalf of clients (Notification 0099796/18 of 06/04/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099796/18 of 06/04/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>A-CONVERSIO CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4, Annis Komninis Street</td>
</tr>
<tr>
<td>City:</td>
<td>Cy-1060 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444332/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5058</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0444332/19 of 30/07/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0444332/19 of 30/07/2019)

3) Portfolio management (Notification 0444332/19 of 30/07/2019)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0444332/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
ACPI INVESTMENTS LIMITED

56 Conduit Street

W1s 2yz - Londra

Regno Unito

n. 7093062 of 17/10/2007

1865

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7093062 of 17/10/2007)
2) Portfolio management (Notification 7093062 of 17/10/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7093062 of 17/10/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACQUANTUM AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Josephspitalstrasse, 15</td>
</tr>
<tr>
<td>City:</td>
<td>D 80331 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13048481 of 31/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3718</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13048481 of 31/05/2013)
2) Execution of orders on behalf of clients (Notification 13048481 of 31/05/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13048481 of 31/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACSEL ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Rivermead East Molesey Surrey</td>
</tr>
<tr>
<td>City:</td>
<td>Kt8 9az - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6058308 of 11/07/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1675</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6058308 of 11/07/2006)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6058308 of 11/07/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACT FINANCIAL SOLUTIONS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gustav Mahlerlaan 1009</td>
</tr>
<tr>
<td>City:</td>
<td>1082mk - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002834/18 of 10/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4752</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0002834/18 of 10/01/2018)
2) Investment advice (Notification 0002834/18 of 10/01/2018)
3) Execution of orders on behalf of clients (Notification 0002834/18 of 10/01/2018)
4) Dealing on own account (Notification 0002834/18 of 10/01/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002834/18 of 10/01/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACTIVTRADES PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Thomas More Square</td>
</tr>
<tr>
<td>City:</td>
<td>E1w 1yw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5081938 of 16/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1606</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5081938 of 16/12/2005)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7090877 of 10/10/2007)
3) Dealing on own account (Notification 7090877 of 10/10/2007)
4) Execution of orders on behalf of clients (Notification 7098722 of 06/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ACUMEN FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bon Accord House Riverside Drive</td>
</tr>
<tr>
<td>City:</td>
<td>Ab117sl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0128261/17 of 17/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4715</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0128261/17 of 17/11/2017)
2) Execution of orders on behalf of clients (Notification 0128261/17 of 17/11/2017)
3) Portfolio management (Notification 0128261/17 of 17/11/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0128261/17 of 17/11/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADAM &amp; COMPANY INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 St. Andrews Square</td>
</tr>
<tr>
<td>City:</td>
<td>Eh2 1af - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>343</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071107/17 of 25/05/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0071107/17 of 25/05/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0071107/17 of 25/05/2017)
4) Placing of financial instruments without a firm commitment basis (Notification 0071107/17 of 25/05/2017)
5) Investment advice (Notification 0071107/17 of 25/05/2017)
6) Execution of orders on behalf of clients (Notification 0071107/17 of 25/05/2017)
7) Dealing on own account (Notification 0071107/17 of 25/05/2017)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071107/17 of 25/05/2017)
9) Portfolio management (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: **ADAMANT CAPITAL PARTNERS AD**

Registered office: 76 A James Bourchier Blvd

City: 1407 - Sofia

Country: Bulgaria

Notification of Registration: n. 11065879 of 25/07/2011

Registration no.: 3202

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11065879 of 25/07/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11065879 of 25/07/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11065879 of 25/07/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11065879 of 25/07/2011)

5) Placing of financial instruments without a firm commitment basis (Notification 11065879 of 25/07/2011)

6) Investment advice (Notification 11065879 of 25/07/2011)

7) Execution of orders on behalf of clients (Notification 11065879 of 25/07/2011)

8) Portfolio management (Notification 11065879 of 25/07/2011)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065879 of 25/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADAMS STREET PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10035337 of 21/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2845</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10035337 of 21/04/2010)
2. Investment advice (Notification 10035337 of 21/04/2010)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 10035337 of 21/04/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADDVISION WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Berjekey Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0091152/16 of 13/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4488</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0091152/16 of 13/10/2016)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0091152/16 of 13/10/2016)
3) Investment advice (Notification 0091152/16 of 13/10/2016)
4) Execution of orders on behalf of clients (Notification 0091152/16 of 13/10/2016)
5) Portfolio management (Notification 0091152/16 of 13/10/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0091152/16 of 13/10/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ADM INVESTOR SERVICES INTERNATIONAL LIMITED

Registered office: Millennium Bridge House Lambeth Hill

City: Ec4v 3tt - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 206

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) 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 (Notification 96000620 of 03/01/1996)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

5) Investment advice (Notification 96000620 of 03/01/1996)

6) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

7) Portfolio management (Notification 96000620 of 03/01/1996)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

9) Dealing on own account (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: ADMIRAL MARKETS AS

Registered office: Ahtri 6a

City: 10151 - Tallinn

Country: Estonia

Notification of Registration: n. 10098606 of 02/12/2010

Registration no.: 3036

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10098606 of 02/12/2010)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10098606 of 02/12/2010)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10098606 of 02/12/2010)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10098606 of 02/12/2010)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 10098606 of 02/12/2010)

6) Execution of orders on behalf of clients (Notification 10098606 of 02/12/2010)

7) Dealing on own account (Notification 10098606 of 02/12/2010)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10098606 of 02/12/2010)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADMIRAL MARKETS CYPRUS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22, Spyrou Kyprianou, Pippiros Building</td>
</tr>
<tr>
<td>City:</td>
<td>3070 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0016705/14 of 28/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3918</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0016705/14 of 28/02/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0016705/14 of 28/02/2014)

3) Execution of orders on behalf of clients (Notification 0016705/14 of 28/02/2014)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0016705/14 of 28/02/2014)

5) Portfolio management (Notification 0051054/14 of 18/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADMIRAL MARKETS UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 St. Clare Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 1lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059099/13 of 09/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3744</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0059099/13 of 09/07/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059099/13 of 09/07/2013)
3) Dealing on own account (Notification 0088153/17 of 12/07/2017)
4) 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 (Notification 0093800/13 of 04/12/2013)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0093800/13 of 04/12/2013)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0093800/13 of 04/12/2013)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 0093800/13 of 04/12/2013)
8) Placing of financial instruments without a firm commitment basis (Notification 0093800/13 of 04/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADS SECURITIES LONDON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12068191 of 13/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3488</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0087248/17 of 10/07/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12068191 of 13/08/2012)
3) Execution of orders on behalf of clients (Notification 12068191 of 13/08/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12068191 of 13/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADVANCED ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Graf Adolf Strasse, 12</td>
</tr>
<tr>
<td>City:</td>
<td>40212 - Dusseldorf</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5042761 of 13/06/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1582</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 5042761 of 13/06/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5042761 of 13/06/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADVANCED MARKETS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0183317/18 of 01/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4833</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0183317/18 of 01/06/2018)
2) Dealing on own account (Notification 0183317/18 of 01/06/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0183317/18 of 01/06/2018)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADVENT CAPITAL MANAGEMENT UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor Devonshire House 1 Mayfair Place,</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060092/15 of 24/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4212</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0060092/15 of 24/07/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0060092/15 of 24/07/2015)

3) Investment advice (Notification 0060092/15 of 24/07/2015)

4) Execution of orders on behalf of clients (Notification 0060092/15 of 24/07/2015)

5) Portfolio management (Notification 0060092/15 of 24/07/2015)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060092/15 of 24/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ADVENT INTERNATIONAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0166129/19 of 29/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5005</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0166129/19 of 29/03/2019)

2) Placing of financial instruments without a firm commitment basis (Notification 0166129/19 of 29/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AE GLOBAL INVESTMENT SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bessborough House 17 Cavedish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4027046 of 29/03/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1431</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4027046 of 29/03/2004)
2) Services related to underwriting (Notification 4027046 of 29/03/2004)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4027046 of 29/03/2004)
4) Investment advice (Notification 4027046 of 29/03/2004)
5) Execution of orders on behalf of clients (Notification 4027046 of 29/03/2004)
6) Portfolio management (Notification 4027046 of 29/03/2004)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 4027046 of 29/03/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AEGON ASSET MANAGEMENT PAN-EUROPE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Aegonplein 50</td>
</tr>
<tr>
<td>City:</td>
<td>2951 Tv - Den Haag</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0034495/17 of 17/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4581</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0034495/17 of 17/03/2017)
2) Investment advice (Notification 0034495/17 of 17/03/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0034495/17 of 17/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AENEIS PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wellington House East Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Cb11bh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105318/16 of 28/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4511</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0105318/16 of 28/11/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0105318/16 of 28/11/2016)
3) Services related to underwriting (Notification 0105318/16 of 28/11/2016)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0105318/16 of 28/11/2016)
5) Investment advice (Notification 0105318/16 of 28/11/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105318/16 of 28/11/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AEONIC SECURITIES C.I.F PLC.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5, Andrea Kalvou Street, Helladion House</td>
</tr>
<tr>
<td>City:</td>
<td>3085 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 72770/13 of 06/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3801</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 72770/13 of 06/09/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 72770/13 of 06/09/2013)

3) Services related to underwriting (Notification 72770/13 of 06/09/2013)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 72770/13 of 06/09/2013)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 72770/13 of 06/09/2013)

6) Execution of orders on behalf of clients (Notification 72770/13 of 06/09/2013)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 72770/13 of 06/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AERIUS ASSOCIATES ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ff - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0067829/15 of 26/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4229</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0067829/15 of 26/08/2015)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0067829/15 of 26/08/2015)

3) Investment advice (Notification 0067829/15 of 26/08/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0067829/15 of 26/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AES FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>126-128 New Kings Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 4lz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8076859 of 12/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2390</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8076859 of 12/08/2008)
2) Investment advice (Notification 8076859 of 12/08/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8076859 of 12/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AESPEN B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 Nieuwezijds Voorburgwal</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Sh - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3008225 of 12/02/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1343</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 3008225 of 12/02/2003)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3008225 of 12/02/2003)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AETHEL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>67 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3jn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083230/15 of 27/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4250</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0083230/15 of 27/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AETIA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Winfrith Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw18 3be - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10067632 of 02/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2932</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10067632 of 02/08/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10067632 of 02/08/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AETOS CAPITAL GROUP (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13053421 of 18/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3732</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 13053421 of 18/06/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13053421 of 18/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFEEX MARKETS PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Strand</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 5rw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069085/14 of 20/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4021</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0069085/14 of 20/08/2014)
2) Investment advice (Notification 0069085/14 of 20/08/2014)
3) Execution of orders on behalf of clients (Notification 0069085/14 of 20/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFFILIATED MANAGERS GROUP (IRELAND) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Molesworth Street Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>D02 Y512 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0213825/19 of 18/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5019</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0213825/19 of 18/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**AFFILIATED MANAGERS GROUP LIMITED**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFFILIATED MANAGERS GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Park Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Wik 1rb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10029990 of 01/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2825</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 10029990 of 01/04/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFFINITY FINANCIAL PRODUCTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6ee - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068145 of 01/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3222</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11068145 of 01/08/2011)
2. Investment advice (Notification 11068145 of 01/08/2011)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 11068145 of 01/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFFIRMATIVE INVESTMENT MANAGEMENT PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0085017/16 of 23/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4475</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0085017/16 of 23/09/2016)
2) Investment advice (Notification 0085017/16 of 23/09/2016)
3) Execution of orders on behalf of clients (Notification 0085017/16 of 23/09/2016)
4) Portfolio management (Notification 0085017/16 of 23/09/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085017/16 of 23/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFH INDEPENDENT FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Church Street, Worcestershire</td>
</tr>
<tr>
<td>City:</td>
<td>B61 8dn - Bromsgrove</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8102064 of 07/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2461</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8102064 of 07/11/2008)
2) Execution of orders on behalf of clients (Notification 8102064 of 07/11/2008)
3) Portfolio management (Notification 8102064 of 07/11/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8102064 of 07/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AFRICAN ALPHA INVESTMENT PARTNERS LIMITED

Registered office: 14 Cork Street

City: W1s 3ns - Londra

Country: Regno Unito

Notification of Registration: n. 12087599 of 06/11/2012

Registration no.: 3548

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12087599 of 06/11/2012)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 12087599 of 06/11/2012)
3) Investment advice (Notification 12087599 of 06/11/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12087599 of 06/11/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AFRICAN CAPITAL INVESTMENTS LIMITED

Registered office: 52 Charles Street

City: W1j 5eu - Londra

Country: Regno Unito

Notification of Registration: n. 0050230/16 of 30/05/2016

Registration no.: 4395

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0050230/16 of 30/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050230/16 of 30/05/2016)

3) Investment advice (Notification 0050230/16 of 30/05/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050230/16 of 30/05/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFS BROKERS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>O.Z. Voorburgwal 282</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Gl - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1052948 of 06/07/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1152</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1052948 of 06/07/2001)
2) Execution of orders on behalf of clients (Notification 1052948 of 06/07/2001)
3) Dealing on own account (Notification 1052948 of 06/07/2001)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1052948 of 06/07/2001)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFS INTEREST BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beursplein 5</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Jw - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0003702/18 of 11/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4754</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0003702/18 of 11/01/2018)
2) Execution of orders on behalf of clients (Notification 0003702/18 of 11/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AFS LONDON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Warwick House First Floor 65-66 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4 - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2025867 of 18/04/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1260</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 2025867 of 18/04/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** AFX CAPITAL MARKETS LTD  
Authorization suspended by Cyprus authority since 19/07/2019

**Registered office:** Arch. Kyprianou 2 & Ayiou Andreou

**City:** 3601 - Limassol

**Country:** Cipro

**Notification of Registration:** n. 10070118 of 10/08/2010

**Registration no.:** 2935

## SERVICES PROVIDED IN ITALY

1) 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 (Notification 10070118 of 10/08/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10070118 of 10/08/2010)

3) Portfolio management (Notification 10070118 of 10/08/2010)

4) Dealing on own account (Notification 10070118 of 10/08/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070118 of 10/08/2010)

6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12013555 of 23/02/2012)

7) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12013555 of 23/02/2012)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12013555 of 23/02/2012)

9) Investment advice (Notification 12013555 of 23/02/2012)

10) Execution of orders on behalf of clients (Notification 12013555 of 23/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** AFX MARKETS LIMITED

In SPECIAL ADMINISTRATION - the home authority (Financial Conduct Authority) has decided to impose on AFX Markets Limited, with immediate effect, an order to cease the regulated activities.

**Registered office:** 33 Sun Street

**City:** Ec2m 2py - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 12050441 of 13/06/2012

**Registration no.:** 3447

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 12050441 of 13/06/2012)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12050441 of 13/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
AGENCY PARTNERS LLP

1 Liverpool Street, Ec2m 7qd, Londra, Regno Unito

Registration no.: 3039

Services provided in Italy:

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10102044 of 14/12/2010)
2) Investment advice (Notification 10102044 of 14/12/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10102044 of 14/12/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AGENDA INVEST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Pilgrim Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v6rm - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069830/15 of 04/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4225</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0069830/15 of 04/09/2015)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069830/15 of 04/09/2015)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0069830/15 of 04/09/2015)
4) Investment advice (Notification 0069830/15 of 04/09/2015)
5) Execution of orders on behalf of clients (Notification 0069830/15 of 04/09/2015)
6) Portfolio management (Notification 0069830/15 of 04/09/2015)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069830/15 of 04/09/2015)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AGF INTERNATIONAL ADVISORS COMPANY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Molesworth Street Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9020811 of 06/03/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2542</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9020811 of 06/03/2009)
2) Execution of orders on behalf of clients (Notification 9020811 of 06/03/2009)
3) Portfolio management (Notification 9020811 of 06/03/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9020811 of 06/03/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AGFIA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Molesworth Street Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9020808 of 06/03/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2541</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9020808 of 06/03/2009)
2) Portfolio management (Notification 9020808 of 06/03/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AGINCOURT FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Moorgate Hall 155 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 6xb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1085647 of 14/11/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1198</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1085647 of 14/11/2001)
2) Portfolio management (Notification 1085647 of 14/11/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1085647 of 14/11/2001)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AGORA MICROFINANCE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Duke Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1 6bn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10084745 of 15/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2994</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10084745 of 15/10/2010)
2) Investment advice (Notification 10084745 of 15/10/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AHORRO CORPORACION FINANCIERA SOCIETAD DE VALORES SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Paseo De La Castellana, 89</td>
</tr>
<tr>
<td>City:</td>
<td>28046 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3066158 of 17/10/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1390</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 3066158 of 17/10/2003)
2) Execution of orders on behalf of clients (Notification 3066158 of 17/10/2003)
3) Dealing on own account (Notification 3066158 of 17/10/2003)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 3066158 of 17/10/2003)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AHV ASSOCIATES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6100287 of 21/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1741</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6100287 of 21/12/2006)
2) Investment advice (Notification 6100287 of 21/12/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6100287 of 21/12/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AIB CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>85 Pembroke Road- Ballsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>4 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 95182 of 28/12/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1067</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 95182 of 28/12/2000)
2) Services related to underwriting (Notification 95182 of 28/12/2000)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 95182 of 28/12/2000)
4) Placing of financial instruments without a firm commitment basis (Notification 95182 of 28/12/2000)
5) Investment advice (Notification 95182 of 28/12/2000)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 95182 of 28/12/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** AISA FINANCIAL PLANNING LIMITED  

**Registered office:** Fordbrook Business Centre, Marlborough Road  

**City:** Sn9 5nu - Londra  

**Country:** Regno Unito  

**Notification of Registration:** n. 0052241/15 of 30/06/2015  

**Registration no.:** 4200  

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0052241/15 of 30/06/2015)  
2) Investment advice (Notification 0052241/15 of 30/06/2015)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0052241/15 of 30/06/2015)  

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AITKEN ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Marryat Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw195be - Wimbledon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021965 of 24/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3113</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11021965 of 24/03/2011)
2) Investment advice (Notification 11021965 of 24/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>A.J.K. WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Naousis Street Karapatakis Building</td>
</tr>
<tr>
<td>City:</td>
<td>6018 - Larnaca</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068146 of 01/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3218</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11068146 of 01/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AK JENSEN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6053348 of 19/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1665</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 12013188 of 22/02/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12013188 of 22/02/2012)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12013188 of 22/02/2012)

4) Investment advice (Notification 12013188 of 22/02/2012)

5) Portfolio management (Notification 12013188 of 22/02/2012)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 6053348 of 19/06/2006)

7) Execution of orders on behalf of clients (Notification 6053348 of 19/06/2006)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 6053348 of 19/06/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AKCENTA CZ AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Salvátorská 931/8</td>
</tr>
<tr>
<td>City:</td>
<td>110 00 - Praga</td>
</tr>
<tr>
<td>Country:</td>
<td>Repubblica Ceca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0140344/17 of 28/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4736</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0140344/17 of 28/12/2017)

2) Execution of orders on behalf of clients (Notification 0140344/17 of 28/12/2017)

3) Dealing on own account (Notification 0140344/17 of 28/12/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0140344/17 of 28/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AKFX FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Lapsi Street. St. Julians</td>
</tr>
<tr>
<td>City:</td>
<td>- Saint Julians</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 73482/13 of 10/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3803</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 73482/13 of 10/09/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 73482/13 of 10/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AKSIA EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4-5 Park Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1lp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11077225 of 12/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3247</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11077225 of 12/09/2011)
2) Investment advice (Notification 11077225 of 12/09/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11077225 of 12/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALAN BOSWELL &amp; COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>126 Thorpe Road , Norfolk</td>
</tr>
<tr>
<td>City:</td>
<td>Nr1 VI - Norwich</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099924 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1995</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099924 of 09/11/2007)
2) Investment advice (Notification 7099924 of 09/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099924 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALANTRA CAPITAL MARKETS SV S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Jose’ Ortega Y Gasset, 29</td>
</tr>
<tr>
<td>City:</td>
<td>28006 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11078423 of 19/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3268</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11078423 of 19/09/2011)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11078423 of 19/09/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALANTRA CORPORATE FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Cherry Street</td>
</tr>
<tr>
<td>City:</td>
<td>B2 5al - Birmingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8067322 of 17/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2357</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8067322 of 17/07/2008)

2) Investment advice (Notification 8067322 of 17/07/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8067322 of 17/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALANTRA CORPORATE PORTFOLIO ADVISORS INTERNATIONAL LIMITED

Registered office: Holland House 4 Bury Street

City: Ec3a5aw - Londra

Country: Regno Unito

Notification of Registration: n. 0636755/19 of 17/10/2019

Registration no.: 5126

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0636755/19 of 17/10/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0636755/19 of 17/10/2019)

3) Investment advice (Notification 0636755/19 of 17/10/2019)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0636755/19 of 17/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Alb Limited
48, Casa Roma Sir Augustus Bartolo Street
Valletta, Malta
Notification of Registration: n. 0100391/17 of 18/08/2017
Registration no.: 4654

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0100391/17 of 18/08/2017)
2) Dealing on own account (Notification 0100391/17 of 18/08/2017)

Please make reference to the Supervisory home Authority's website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALBACORE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Sant James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a1la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0110707/17 of 27/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4686</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0110707/17 of 27/09/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0110707/17 of 27/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALBEMARLE ASSET MANAGEMENT LTD

Registered office: 7, Old Park Lane

City: W1k1qr - Londra

Country: Regno Unito

Notification of Registration: n. 4027810 of 30/03/2004

Registration no.: 1433

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0057537/17 of 28/04/2017)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0057537/17 of 28/04/2017)

3) Execution of orders on behalf of clients (Notification 0057537/17 of 28/04/2017)

4) Portfolio management (Notification 0057537/17 of 28/04/2017)

5) Investment advice (Notification 4027810 of 30/03/2004)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 4027810 of 30/03/2004)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>ALBOURNE PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Palace Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7091968 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1913</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7091968 of 01/11/2007)

2) Investment advice (Notification 7091968 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALCENTRA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1072543 of 26/09/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1179</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 1072543 of 26/09/2001)
2) Investment advice (Notification 1072543 of 26/09/2001)
3) Execution of orders on behalf of clients (Notification 1072543 of 26/09/2001)
4) Portfolio management (Notification 1072543 of 26/09/2001)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1072543 of 26/09/2001)
6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12064680 of 01/08/2012)
7) Placing of financial instruments without a firm commitment basis (Notification 12064680 of 01/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALCHEMY PRIME LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 31 St. Clements House 12 Leyden Street</td>
</tr>
<tr>
<td>City:</td>
<td>E1 7ll - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0149571/19 of 19/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4975</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0149571/19 of 19/03/2019)
2) Investment advice (Notification 0149571/19 of 19/03/2019)
3) Execution of orders on behalf of clients (Notification 0149571/19 of 19/03/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0149571/19 of 19/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALDGATE ADVISORS LIMITED

Registered office: 56 Buckingham Gate

City: Sw1e6ae - Londra

Country: Regno Unito

Notification of Registration: n. 0086314/17 of 06/07/2017

Registration no.: 4636

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086314/17 of 06/07/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086314/17 of 06/07/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0086314/17 of 06/07/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0086314/17 of 06/07/2017)

5) Investment advice (Notification 0086314/17 of 06/07/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086314/17 of 06/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALEAN CAPITAL AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neugasse 15 - Vaduz</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0007217/16 of 27/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4311</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0007217/16 of 27/01/2016)
2) Investment advice (Notification 0007217/16 of 27/01/2016)
3) Portfolio management (Notification 0007217/16 of 27/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALEAN (CAPITAL) ANSTALT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neugasse 15</td>
</tr>
<tr>
<td>City:</td>
<td>FL 9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12076836 of 26/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3514</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12076836 of 26/09/2012)
2) Investment advice (Notification 12076836 of 26/09/2012)
3) Portfolio management (Notification 12076836 of 26/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

### Investment firm: ALEPH CAPITAL PARTNERS LLP

**Registered office:** 14 St. George Street

**City:** W1s 1fe - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 0003099/14 of 14/01/2014

**Registration no.:** 3889

---

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0003099/14 of 14/01/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0003099/14 of 14/01/2014)

3) Investment advice (Notification 0003099/14 of 14/01/2014)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0003099/14 of 14/01/2014)

---

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALEXANDER DAVID SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>49 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n4sa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8079650 of 27/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2406</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0087245/17 of 10/07/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8079650 of 27/08/2008)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8079650 of 27/08/2008)
4) Investment advice (Notification 8079650 of 27/08/2008)
5) Execution of orders on behalf of clients (Notification 8079650 of 27/08/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8079650 of 27/08/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALFA CAPITAL HOLDINGS (CYPRUS) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3, Themistokli Dervi Julia House</td>
</tr>
<tr>
<td>City:</td>
<td>1066 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12059558 of 16/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3468</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12059558 of 16/07/2012)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12059558 of 16/07/2012)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12059558 of 16/07/2012)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 12059558 of 16/07/2012)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 12059558 of 16/07/2012)
6) Placing of financial instruments without a firm commitment basis (Notification 12059558 of 16/07/2012)
7) Investment advice (Notification 12059558 of 16/07/2012)
8) Execution of orders on behalf of clients (Notification 12059558 of 16/07/2012)
9) Dealing on own account (Notification 12059558 of 16/07/2012)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 12059558 of 16/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm</th>
<th>ALFRED BERG KAPITALFÖRVALTNING AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Birger Jarlsgatan 7</td>
</tr>
<tr>
<td>City:</td>
<td>S-107 25 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96021459 of 12/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>456</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 96021459 of 12/03/1996)  
2) Execution of orders on behalf of clients (Notification 96021459 of 12/03/1996)  
3) Portfolio management (Notification 96021459 of 12/03/1996)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96021459 of 12/03/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 98017917 of 12/03/1998)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98017917 of 12/03/1998)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 98017917 of 12/03/1998)

4) Services related to underwriting (Notification 98017917 of 12/03/1998)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 98017917 of 12/03/1998)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98017917 of 12/03/1998)

7) Placing of financial instruments without a firm commitment basis (Notification 98017917 of 12/03/1998)

8) Investment advice (Notification 98017917 of 12/03/1998)

9) Execution of orders on behalf of clients (Notification 98017917 of 12/03/1998)

10) Dealing on own account (Notification 98017917 of 12/03/1998)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 98017917 of 12/03/1998)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALFRED BERG TRANSFERATOR AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Box 7643</td>
</tr>
<tr>
<td>City:</td>
<td>S-103 94 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96021459 of 12/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>457</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96021459 of 12/03/1996)
2) Placing of financial instruments without a firm commitment basis (Notification 96021459 of 12/03/1996)
3) Investment advice (Notification 96021459 of 12/03/1996)
4) Execution of orders on behalf of clients (Notification 96021459 of 12/03/1996)
5) Dealing on own account (Notification 96021459 of 12/03/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96021459 of 12/03/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALGER MANAGEMENT LTD

Registered office: 50 Broadway

City: Sw1h 0rg - Londra

Country: Regno Unito

Notification of Registration: n. 0059169/14 of 15/07/2014

Registration no.: 3997

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059169/14 of 15/07/2014)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0059169/14 of 15/07/2014)
3) Investment advice (Notification 0059169/14 of 15/07/2014)
4) Execution of orders on behalf of clients (Notification 0059169/14 of 15/07/2014)
5) Portfolio management (Notification 0059169/14 of 15/07/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059169/14 of 15/07/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALGO CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Eridge Road Eridge Green</td>
</tr>
<tr>
<td>City:</td>
<td>Tn3 9ll - Tunbridge Wells</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5082608 of 20/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1610</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5082608 of 20/12/2005)
2) Portfolio management (Notification 5082608 of 20/12/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5082608 of 20/12/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALGORITHMIC TRADING GROUP NETHERLANDS MANAGEMENT BV

Registered office: Beursplein 5

City: 1012 Jw - Amsterdam

Country: Paesi Bassi

Notification of Registration: n. 0002835/18 of 10/01/2018

Registration no.: 4751

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0002835/18 of 10/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALINDA CAPITAL PARTNERS LLP

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>6a Austin Friars</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2n 2ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059072/13 of 09/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3747</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059072/13 of 09/07/2013)
2) Investment advice (Notification 0059072/13 of 09/07/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059072/13 of 09/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALION PARTNERS CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11-12 St James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11090670 of 09/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3293</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11090670 of 09/11/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11090670 of 09/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALIXPARTNERS CORPORATE FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Fleet Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7rb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8001128 of 04/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2166</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8001128 of 04/01/2008)
2) Investment advice (Notification 8001128 of 04/01/2008)
3) Execution of orders on behalf of clients (Notification 8001128 of 04/01/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8001128 of 04/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALKEN ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61 Conduit Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2gb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6053349 of 19/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1661</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6053349 of 19/06/2006)  
2) Execution of orders on behalf of clients (Notification 6053349 of 19/06/2006)  
3) Portfolio management (Notification 6053349 of 19/06/2006)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6053349 of 19/06/2006)  
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALL IPO PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Throgmorton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2an - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5062512 of 19/09/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1575</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5062512 of 19/09/2005)
2) Execution of orders on behalf of clients (Notification 5062512 of 19/09/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5062512 of 19/09/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALL OPTIONS INTERNATIONAL B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 433</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Br - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7111470 of 21/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2156</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 7111470 of 21/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALL SECURITIES B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Nieuwezijds Voorburgwal 120-126</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Sh - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7000025 of 02/01/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1750</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 7000025 of 02/01/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALL TRADING EUROPE ASSETS &amp; MARKETS SOCIEDAD DE VALORES, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Calle Velazquez, 50,</td>
</tr>
<tr>
<td>City:</td>
<td>28001 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9042071 of 07/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2593</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13016487 of 27/02/2013)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13016487 of 27/02/2013)
3) Placing of financial instruments without a firm commitment basis (Notification 13016487 of 27/02/2013)
4) Dealing on own account (Notification 13016487 of 27/02/2013)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9042071 of 07/05/2009)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 9042071 of 07/05/2009)
7) Investment advice (Notification 9042071 of 07/05/2009)
8) Execution of orders on behalf of clients (Notification 9042071 of 07/05/2009)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 9042071 of 07/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALLENBY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Marsh Wall</td>
</tr>
<tr>
<td>City:</td>
<td>E14 9tp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9034500 of 17/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2568</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9034500 of 17/04/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9034500 of 17/04/2009)
3) Investment advice (Notification 9034500 of 17/04/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9034500 of 17/04/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALLIANCEBERNSTEIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Berkely Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>344</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 9038929 of 29/04/2009)
2) Investment advice (Notification 96000620 of 03/01/1996)
3) Execution of orders on behalf of clients (Notification 99021425 of 19/03/1999)
4) Portfolio management (Notification 99021425 of 19/03/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALLIANZ RISK TRANSFER (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Gracechurch Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v Ohr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036632/14 of 05/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3954</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0036632/14 of 05/05/2014)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0036632/14 of 05/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALLX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>272-274 Vauxhall Bridge Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 1bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093269/14 of 01/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4120</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0009760/17 of 23/01/2017)
2) Portfolio management (Notification 0009760/17 of 23/01/2017)
3) Investment advice (Notification 0047520/15 of 11/06/2015)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0048921/15 of 17/06/2015)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0048921/15 of 17/06/2015)
6) Placing of financial instruments without a firm commitment basis (Notification 0086486/15 of 09/11/2015)
7) Dealing on own account (Notification 0087250/17 of 10/07/2017)
8) Execution of orders on behalf of clients (Notification 0093269/14 of 01/12/2014)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093269/14 of 01/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALMAGEST WEALTH MANAGEMENT S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 A Boulevard Josesph li</td>
</tr>
<tr>
<td>City:</td>
<td>L1840 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0009181/15 of 06/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4096</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0009181/15 of 06/02/2015)
2) Execution of orders on behalf of clients (Notification 0009181/15 of 06/02/2015)
3) Portfolio management (Notification 0009181/15 of 06/02/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0009181/15 of 06/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPCOT CAPITAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cardinal House 39-40 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4te - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8007166 of 25/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2192</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8007166 of 25/01/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8007166 of 25/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPH CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43-44 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0000137/17 of 02/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4572</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0000137/17 of 02/01/2017)
2) Execution of orders on behalf of clients (Notification 0000137/17 of 02/01/2017)
3) Portfolio management (Notification 0000137/17 of 02/01/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0000137/17 of 02/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPHA CAPITAL ASSET MANAGEMENT B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Willemstraat 1</td>
</tr>
<tr>
<td>City:</td>
<td>5611ha - Eindhoven</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0078340/17 of 15/06/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4619</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0078340/17 of 15/06/2017)
2) Portfolio management (Notification 0078340/17 of 15/06/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078340/17 of 15/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### ALPHA FX LIMITED

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPHA FX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Brunel Building, Canalside Walk</td>
</tr>
<tr>
<td>City:</td>
<td>W2 1dg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0006170/18 of 15/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4756</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Foreign exchange services where these are connected to the provision of investment services (Notification 0006170/18 of 15/01/2018)
2. Investment advice (Notification 0006170/18 of 15/01/2018)
3. Execution of orders on behalf of clients (Notification 0006170/18 of 15/01/2018)
4. Dealing on own account (Notification 0006170/18 of 15/01/2018)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 0006170/18 of 15/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPHA UCITS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>180 Great Portland Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 5qz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012196 of 22/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3091</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11012196 of 22/02/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11012196 of 22/02/2011)
3) Investment advice (Notification 11012196 of 22/02/2011)
4) Execution of orders on behalf of clients (Notification 11012196 of 22/02/2011)
5) Portfolio management (Notification 11012196 of 22/02/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012196 of 22/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALPHA WEALTH MANAGEMENT LUXEMBOURG S.A.

Registered office: 7 In Der Duerrwies

City: L 7305 - Steinsel

Country: Lussemburgo

Notification of Registration: n. 12046089 of 30/05/2012

Registration no.: 3437

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12046089 of 30/05/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12046089 of 30/05/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12046089 of 30/05/2012)

4) Investment advice (Notification 12046089 of 30/05/2012)

5) Execution of orders on behalf of clients (Notification 12046089 of 30/05/2012)

6) Portfolio management (Notification 12046089 of 30/05/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12046089 of 30/05/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPHABET CAPITAL ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5fj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5052723 of 26/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1570</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5052723 of 26/07/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5052723 of 26/07/2005)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALPHADYNE ASSET MANAGEMENT (UK) LLP

Registered office: Berkeley Square House

City: - Londra

Country: Regno Unito

Notification of Registration: n. 0086007/13 of 30/10/2013

Registration no.: 3840

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086007/13 of 30/10/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086007/13 of 30/10/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 0086007/13 of 30/10/2013)

4) Investment advice (Notification 0086007/13 of 30/10/2013)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086007/13 of 30/10/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPHANI LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Enmore Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw14 8rf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0541690/18 of 21/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4916</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0541690/18 of 21/12/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0541690/18 of 21/12/2018)

3) Investment advice (Notification 0541690/18 of 21/12/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0541690/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALPHAOONE PARTNERS LLP

Registered office: Vicarage House 58-60 Kensington Church Street

City: W8 4db - Londra

Country: Regno Unito

Notification of Registration: n. 6058252 of 11/07/2006

Registration no.: 1674

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6058252 of 11/07/2006)
2) Execution of orders on behalf of clients (Notification 6058252 of 11/07/2006)
3) Portfolio management (Notification 6058252 of 11/07/2006)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6058252 of 11/07/2006)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTRAR OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALPIMA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1J 8dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0004562/16 of 19/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4305</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0004562/16 of 19/01/2016)
2) Investment advice (Notification 0004562/16 of 19/01/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004562/16 of 19/01/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALPS F S LIMITED

Registered office: Compton House Walnut Tree Close

City: Gu1 4tx - Guildford

Country: Regno Unito

Notification of Registration: n. 7096767 of 01/11/2007

Registration no.: 1930

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096767 of 01/11/2007)
2) Investment advice (Notification 7096767 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096767 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALQUITY INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Kingsway</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2b 6xf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10104075 of 23/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3045</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10104075 of 23/12/2010)

2) Investment advice (Notification 10104075 of 23/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Services Provided in Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) 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 (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>5) Services related to underwriting (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>6) Foreign exchange services where these are connected to the provision of investment services (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>8) Placing of financial instruments without a firm commitment basis (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>9) Investment advice (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>10) Execution of orders on behalf of clients (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>11) Portfolio management (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>12) Dealing on own account (Notification 0053594/17 of 24/04/2017)</td>
</tr>
<tr>
<td>13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053594/17 of 24/04/2017)</td>
</tr>
</tbody>
</table>
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: ALTANA WEALTH LIMITED

Registered office: Standbrook House 2-5 Old Bond St

City: W1s 4pd - Londra

Country: Regno Unito

Notification of Registration: n. 11035235 of 22/04/2011

Registration no.: 3132

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11035235 of 22/04/2011)
2) Investment advice (Notification 11035235 of 22/04/2011)
3) Execution of orders on behalf of clients (Notification 11035235 of 22/04/2011)
4) Portfolio management (Notification 11035235 of 22/04/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11035235 of 22/04/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
ALTERI PARTNERS LLP

14 Berkeley Street,
W1j 8dx - Londra

Regno Unito

n. 0055822/16 of 15/06/2016

4407

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0055822/16 of 15/06/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0055822/16 of 15/06/2016)

3) Investment advice (Notification 0055822/16 of 15/06/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0055822/16 of 15/06/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALTERNATIVES ST JAMES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hamilton House 1 Temple Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11054848 of 17/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3178</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11054848 of 17/06/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11054848 of 17/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALTIMA PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Slingsby Place</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e9ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9034932 of 20/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2573</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9034932 of 20/04/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9034932 of 20/04/2009)
3) Investment advice (Notification 9034932 of 20/04/2009)
4) Execution of orders on behalf of clients (Notification 9034932 of 20/04/2009)
5) Portfolio management (Notification 9034932 of 20/04/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9034932 of 20/04/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALTORFER FINANCIAL MANAGEMENT LIMITED

Registered office: 83 High Street Waltham Cross

City: En8 7af - Hertford

Country: Regno Unito

Notification of Registration: n. 8000483 of 03/01/2008

Registration no.: 2159

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8000483 of 03/01/2008)
2) Execution of orders on behalf of clients (Notification 8000483 of 03/01/2008)
3) Portfolio management (Notification 8000483 of 03/01/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8000483 of 03/01/2008)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALTRAFIN ASSET MANAGEMENT AG

Registered office: Landstrasse 40

City: 9495 - Triesen

Country: Liechtenstein

Notification of Registration: n. 0012187/16 of 11/02/2016

Registration no.: 4319

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012187/16 of 11/02/2016)
2) Investment advice (Notification 0012187/16 of 11/02/2016)
3) Execution of orders on behalf of clients (Notification 0012187/16 of 11/02/2016)
4) Portfolio management (Notification 0012187/16 of 11/02/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012187/16 of 11/02/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALTRUID SYSTEMS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>168 St Christopher Street</td>
</tr>
<tr>
<td>City:</td>
<td>Vlt 1467 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13053410 of 18/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3731</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 13053410 of 18/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0091561/13 of 25/11/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0091561/13 of 25/11/2013)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0091561/13 of 25/11/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0091561/13 of 25/11/2013)

5) Investment advice (Notification 0091561/13 of 25/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ALVARIUM INVESTMENT MANAGERS (UK) LLP

Registered office: 10 Old Burlington Street

City: W1s 3ag - Londra

Country: Regno Unito

Notification of Registration: n. 0300651/19 of 29/05/2019

Registration no.: 5034

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0300651/19 of 29/05/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0300651/19 of 29/05/2019)

3) Investment advice (Notification 0300651/19 of 29/05/2019)

4) Execution of orders on behalf of clients (Notification 0300651/19 of 29/05/2019)

5) Portfolio management (Notification 0300651/19 of 29/05/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0300651/19 of 29/05/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALVIER ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wuhrstrasse 13</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0080519/17 of 20/06/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4620</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0080519/17 of 20/06/2017)
2) Investment advice (Notification 0080519/17 of 20/06/2017)
3) Execution of orders on behalf of clients (Notification 0080519/17 of 20/06/2017)
4) Portfolio management (Notification 0080519/17 of 20/06/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0080519/17 of 20/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ALVINE CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-6 Carlos Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5079767 of 05/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1604</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5079767 of 05/12/2005)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8077911 of 19/08/2008)
3) Investment advice (Notification 8077911 of 19/08/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>AMAGIS CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0063209/14 of 29/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4006</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0063209/14 of 29/07/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0063209/14 of 29/07/2014)
3) Execution of orders on behalf of clients (Notification 0082970/15 of 26/10/2015)
4) Portfolio management (Notification 0082970/15 of 26/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **AMALGAMATED METAL TRADING LTD**

Registered office: 55 Bishopsgate

City: Ec2n 3ah - Londra

Country: Regno Unito

Notification of Registration: n. 7094192 of 01/11/2007

Registration no.: 1900

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7094192 of 01/11/2007)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7094192 of 01/11/2007)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7094192 of 01/11/2007)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 7094192 of 01/11/2007)

5) Investment advice (Notification 7094192 of 01/11/2007)

6) Execution of orders on behalf of clients (Notification 7094192 of 01/11/2007)

7) Dealing on own account (Notification 7094192 of 01/11/2007)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094192 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMANA CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Archiepiskopou Makariou lii</td>
</tr>
<tr>
<td>City:</td>
<td>Cy-4000 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12050444 of 13/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3449</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12050444 of 13/06/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12050444 of 13/06/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12050444 of 13/06/2012)

4) Execution of orders on behalf of clients (Notification 12050444 of 13/06/2012)

5) Dealing on own account (Notification 12050444 of 13/06/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12050444 of 13/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMB PRIME LTD  

Registered office: 38, Spyrou Kyprianou Street, Officen 101  

City: 4154 - Limassol  

Country: Cipro  

Notification of Registration: n. 0030500/14 of 14/04/2014  

Registration no.: 3944  

SERVICES PROVIDED IN ITALY  

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0030500/14 of 14/04/2014)  

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0030500/14 of 14/04/2014)  

3) Execution of orders on behalf of clients (Notification 0030500/14 of 14/04/2014)  

4) Dealing on own account (Notification 0030500/14 of 14/04/2014)  

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0030500/14 of 14/04/2014)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMBER FONDSMAEGLERSELSKAB AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strandvejen 163 Denmark</td>
</tr>
<tr>
<td>City:</td>
<td>2900 - Hellerup</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8058872 of 20/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2332</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8058872 of 20/06/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8058872 of 20/06/2008)
3) Investment advice (Notification 8058872 of 20/06/2008)
4) Execution of orders on behalf of clients (Notification 8058872 of 20/06/2008)
5) Portfolio management (Notification 8058872 of 20/06/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8058872 of 20/06/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMBROSIA CAPITAL LTD

Registered office: Berkeley Square

City: W1j 6bd - Londra

Country: Regno Unito

Notification of Registration: n. 0022963/16 of 17/03/2016

Registration no.: 4345

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0022963/16 of 17/03/2016)
2) Execution of orders on behalf of clients (Notification 0022963/16 of 17/03/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022963/16 of 17/03/2016)
4) Dealing on own account (Notification 0099875/17 of 16/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMERICAN CENTURY INVESTMENT MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Long Acre</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 9rz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9084407 of 29/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2685</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9084407 of 29/09/2009)
2) Investment advice (Notification 9084407 of 29/09/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9084407 of 29/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMFIE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25a Boulevard Royal</td>
</tr>
<tr>
<td>City:</td>
<td>L2449 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0019194/17 of 10/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4559</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0019194/17 of 10/02/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0019194/17 of 10/02/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0019194/17 of 10/02/2017)
4) Investment advice (Notification 0019194/17 of 10/02/2017)
5) Execution of orders on behalf of clients (Notification 0019194/17 of 10/02/2017)
6) Portfolio management (Notification 0019194/17 of 10/02/2017)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019194/17 of 10/02/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMG KAPITAL LIMITED

Registered office: 6 Maximos Michaelides Street, Maximos Plaza

City: 3106 - Limassol

Country: Cipro

Notification of Registration: n. 11088394 of 31/10/2011

Registration no.: 3289

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11088394 of 31/10/2011)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11088394 of 31/10/2011)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11088394 of 31/10/2011)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11088394 of 31/10/2011)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 11088394 of 31/10/2011)

6) Portfolio management (Notification 11088394 of 31/10/2011)

7) Dealing on own account (Notification 11088394 of 31/10/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMIUS LIMITED

Registered office: 4th Floor, 55 Drury Lane

City: WC2B 5SQ - London

Country: Regno Unito

Notification of Registration: n. 8018897 of 29/02/2008

Registration no.: 2235

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0089255/17 of 14/07/2017)
2) Investment advice (Notification 8018897 of 29/02/2008)
3) Execution of orders on behalf of clients (Notification 8018897 of 29/02/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8018897 of 29/02/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMP CAPITAL INVESTORS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9052645 of 04/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2604</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9052645 of 04/06/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9052645 of 04/06/2009)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 9052645 of 04/06/2009)

4) Placing of financial instruments without a firm commitment basis (Notification 9052645 of 04/06/2009)

5) Investment advice (Notification 9052645 of 04/06/2009)

6) Execution of orders on behalf of clients (Notification 9052645 of 04/06/2009)

7) Portfolio management (Notification 9052645 of 04/06/2009)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9052645 of 04/06/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMP GLOBAL LTD

Registered office: Ayiou Athanasiou Avenue, Kaminion Street 1

City: 4102 - Limassol

Country: Cipro

Notification of Registration: n. 0335751/18 of 03/09/2018

Registration no.: 4869

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0239440/19 of 02/05/2019)
2) 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 (Notification 0335751/18 of 03/09/2018)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0335751/18 of 03/09/2018)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0335751/18 of 03/09/2018)
5) Execution of orders on behalf of clients (Notification 0335751/18 of 03/09/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0335751/18 of 03/09/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMSTEL CAPITAL MANAGEMENT BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Laren Zevenend 45-I</td>
</tr>
<tr>
<td>City:</td>
<td>1251 RI - Nederland</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7067133 of 19/07/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1831</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 7067133 of 19/07/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AMSTEL SECURITIES LLP

Registered office: 1 Tudor Street

City: Ec4y 0ah - Londra

Country: Regno Unito

Notification of Registration: n. 0017984/14 of 06/03/2014

Registration no.: 3924

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0017984/14 of 06/03/2014)
2) Execution of orders on behalf of clients (Notification 0017984/14 of 06/03/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017984/14 of 06/03/2014)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0056269/14 of 04/07/2014)
5) Dealing on own account (Notification 0089263/17 of 14/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMT FUTURES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 3ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>12</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0090728/17 of 19/07/2017)
2) 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 (Notification 96000620 of 03/01/1996)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMUNDI INTERMEDIATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Boulevard Pasteur</td>
</tr>
<tr>
<td>City:</td>
<td>75015 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0052103/14 of 20/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3981</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0052103/14 of 20/06/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0052103/14 of 20/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059533/16 of 27/06/2016)
2) Execution of orders on behalf of clients (Notification 8082732 of 05/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AMUNDI (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Lothbury London</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7hf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0541699/18 of 21/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4918</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0541699/18 of 21/12/2018)
2) Portfolio management (Notification 0541699/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: A.N. ALLNEW INVESTMENTS LTD

Registered office: 47, Ioanni Kondylaki

City: Cy 6042 - Larnaca

Country: Cipro

Notification of Registration: n. 0140394/17 of 28/12/2017

Registration no.: 4735

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0140394/17 of 28/12/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0140394/17 of 28/12/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0140394/17 of 28/12/2017)

4) Execution of orders on behalf of clients (Notification 0140394/17 of 28/12/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0140394/17 of 28/12/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANACAP FINANCIAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Stephen Street,</td>
</tr>
<tr>
<td>City:</td>
<td>W1t 1al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057539/17 of 28/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4600</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0057539/17 of 28/04/2017)

2) Investment advice (Notification 0057539/17 of 28/04/2017)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0057539/17 of 28/04/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANCHOR INTERNATIONAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Calder &amp; Co 16 Charles II Street London</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4nw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090585/19 of 19/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4954</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0090585/19 of 19/02/2019)

2) Investment advice (Notification 0090585/19 of 19/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANCORA FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Connaught Place</td>
</tr>
<tr>
<td>City:</td>
<td>W2 2et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13018705 of 06/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3649</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13018705 of 06/03/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13018705 of 06/03/2013)
3) Investment advice (Notification 13018705 of 06/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Register of EU Investment Firms: Without Branches**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANDERSON STRATHERN ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Rutland Court</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 8ey - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071586/14 of 03/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4024</td>
</tr>
</tbody>
</table>

**Services Provided in Italy**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0071586/14 of 03/09/2014)
2) Investment advice (Notification 0071586/14 of 03/09/2014)
3) Portfolio management (Notification 0071586/14 of 03/09/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071586/14 of 03/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** ANDREW COLYER-WORSELL

**Registered office:** 70 Mymms Drive Brookmans Park, Hertfordshire

**City:** AL9 7ad - Hatfield

**Country:** Regno Unito

**Notification of Registration:** n. 8012320 of 11/02/2008

**Registration no.:** 2205

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8012320 of 11/02/2008)
2) Investment advice (Notification 8012320 of 11/02/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8012320 of 11/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANDURANCE VENTURES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/O Andurand Capital 100 Brompton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094862/13 of 09/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3874</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0094862/13 of 09/12/2013)
2) Investment advice (Notification 0094862/13 of 09/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>ANDURAND CAPITAL MANAGEMENT LLP</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Brompton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13011156 of 11/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3629</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13011156 of 11/02/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13011156 of 11/02/2013)

3) Investment advice (Notification 13011156 of 11/02/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13011156 of 11/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANGELLIST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Clerkenwell Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1r 5df - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015160/15 of 02/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4112</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015160/15 of 02/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ANGELS DEN FUNDING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 New House Park, St Albans</td>
</tr>
<tr>
<td>City:</td>
<td>AI1 1ub - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074653/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4447</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074653/16 of 11/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 99053545 of 09/07/1999)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 99053545 of 09/07/1999)

3) Placing of financial instruments without a firm commitment basis (Notification 99053545 of 09/07/1999)

4) Investment advice (Notification 99053545 of 09/07/1999)

5) Execution of orders on behalf of clients (Notification 99053545 of 09/07/1999)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 99053545 of 09/07/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AON HEWITT (IRELAND) LIMITED

Registered office: Iveagh Court 6 Harcourt Road Dublin 2

City: D02vh94 - Dublino

Country: Irlanda

Notification of Registration: n. 0815539/19 of 17/12/2019

Registration no.: 5141

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0815539/19 of 17/12/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0815539/19 of 17/12/2019)

3) Services related to underwriting (Notification 0815539/19 of 17/12/2019)

4) Placing of financial instruments without a firm commitment basis (Notification 0815539/19 of 17/12/2019)

5) Investment advice (Notification 0815539/19 of 17/12/2019)

6) Execution of orders on behalf of clients (Notification 0815539/19 of 17/12/2019)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0815539/19 of 17/12/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AON HEWITT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sovereign Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ls1 4bj - Leeds</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11083133 of 07/10/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3280</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11083133 of 07/10/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11083133 of 07/10/2011)
3) Investment advice (Notification 11083133 of 07/10/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11083133 of 07/10/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5017769 of 22/03/2005)
2. Services related to underwriting (Notification 5017769 of 22/03/2005)
3. Investment advice (Notification 5017769 of 22/03/2005)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 5017769 of 22/03/2005)
5. Execution of orders on behalf of clients (Notification 7075174 of 09/08/2007)
6. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>AOT DERIVATIVES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Vijrelshuud 20</td>
</tr>
<tr>
<td>City:</td>
<td>1017 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2078655 of 28/11/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1330</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 2078655 of 28/11/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APARTNERS CAPITAL LIMITED

Registered office: 7-10 Chandos Street

City: W1g 9dq - Londra

Country: Regno Unito

Notification of Registration: n. 0025575/14 of 01/04/2014

Registration no.: 3936

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0025575/14 of 01/04/2014)
2) Investment advice (Notification 0025575/14 of 01/04/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025575/14 of 01/04/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>APAX PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009610 of 05/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3623</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13009610 of 05/02/2013)
2) Investment advice (Notification 13009610 of 05/02/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009610 of 05/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APEIRON SECURITIES AND INVESTMENTS LLP

Registered office: 72 Cannon Street

City: Ec4n 6ae - Londra

Country: Regno Unito

Notification of Registration: n. 13018347 of 05/03/2013

Registration no.: 3648

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0090725/17 of 19/07/2017)
2) Investment advice (Notification 13018347 of 05/03/2013)
3) Execution of orders on behalf of clients (Notification 13018347 of 05/03/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13018347 of 05/03/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>APEL FINANCIAL SERVICES DISTRIBUTION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fitzwilliam Office Suites Upper Pembroke Street</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0186584/19 of 05/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5012</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0186584/19 of 05/04/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0186584/19 of 05/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>APERA ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Ainmillerstrasse 11</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>80801 - Monaco</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Germania</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0656955/19 of 24/10/2019</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>5129</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0656955/19 of 24/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0656955/19 of 24/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APERA ASSET MANAGEMENT LLP

Registered office: 91 Wimpole Street

City: W1g0ef - Londra

Country: Regno Unito

Notification of Registration: n. 0084872/17 of 03/07/2017

Registration no.: 4627

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0084872/17 of 03/07/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084872/17 of 03/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Services Provided in Italy

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10047812 of 24/05/2010)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10047812 of 24/05/2010)
3. Investment advice (Notification 10047812 of 24/05/2010)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 10047812 of 24/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APG INVESTMENT SERVICES N.V.

Registered office: Gustav Mahlerplein 4

City: 1082 - Amsterdam

Country: Paesi Bassi

Notification of Registration: n. 12027263 of 05/04/2012

Registration no.: 3391

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12027263 of 05/04/2012)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12027263 of 05/04/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12027263 of 05/04/2012)

4) Investment advice (Notification 12027263 of 05/04/2012)

5) Execution of orders on behalf of clients (Notification 12027263 of 05/04/2012)

6) Portfolio management (Notification 12027263 of 05/04/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12027263 of 05/04/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0134550/17 of 11/12/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0134550/17 of 11/12/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0134550/17 of 11/12/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0134550/17 of 11/12/2017)

5) Investment advice (Notification 0134550/17 of 11/12/2017)

6) Execution of orders on behalf of clients (Notification 0134550/17 of 11/12/2017)

7) Portfolio management (Notification 0134550/17 of 11/12/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0134550/17 of 11/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APOLLO ASSET MANAGEMENT EUROPE LLP

Registered office: 25 St. George Street London

City: W1s 1fs - Londra

Country: Regno Unito

Notification of Registration: n. 0188360/18 of 05/06/2018

Registration no.: 4838

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0188360/18 of 05/06/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0188360/18 of 05/06/2018)

3) Services related to underwriting (Notification 0188360/18 of 05/06/2018)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0188360/18 of 05/06/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0188360/18 of 05/06/2018)

6) Investment advice (Notification 0188360/18 of 05/06/2018)

7) Execution of orders on behalf of clients (Notification 0188360/18 of 05/06/2018)

8) Portfolio management (Notification 0188360/18 of 05/06/2018)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0188360/18 of 05/06/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APOLLO ASSET MANAGEMENT EUROPE PC LLP

Registered office: 25 St. George Street

City: W1s 1fs - Londra

Country: Regno Unito

Notification of Registration: n. 0186565/18 of 04/06/2018

Registration no.: 4835

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0186565/18 of 04/06/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0186565/18 of 04/06/2018)

3) Services related to underwriting (Notification 0186565/18 of 04/06/2018)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0186565/18 of 04/06/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0186565/18 of 04/06/2018)

6) Investment advice (Notification 0186565/18 of 04/06/2018)

7) Execution of orders on behalf of clients (Notification 0186565/18 of 04/06/2018)

8) Portfolio management (Notification 0186565/18 of 04/06/2018)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0186565/18 of 04/06/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: APOLLO MANAGEMENT INTERNATIONAL LLP

Registered office: 25 St. George Street London

City: W1s 1fs - Londra

Country: Regno Unito

Notification of Registration: n. 12096598 of 12/12/2012

Registration no.: 3573

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 0054757/15 of 08/07/2015)
2) Portfolio management (Notification 0054757/15 of 08/07/2015)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12096598 of 12/12/2012)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12096598 of 12/12/2012)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12096598 of 12/12/2012)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 12096598 of 12/12/2012)
7) Placing of financial instruments without a firm commitment basis (Notification 12096598 of 12/12/2012)
8) Investment advice (Notification 12096598 of 12/12/2012)
9) Execution of orders on behalf of clients (Notification 12096598 of 12/12/2012)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 12096598 of 12/12/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0267981/19 of 15/05/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0267981/19 of 15/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AQUILLA NUMMUS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Lordou Vyronos</td>
</tr>
<tr>
<td>City:</td>
<td>1096 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0126915/18 of 26/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4814</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0126915/18 of 26/04/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0126915/18 of 26/04/2018)

3) Portfolio management (Notification 0126915/18 of 26/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AQUITIS EXCHANGE PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Becket House, 36 Old Jewry,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r8dd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068348/14 of 13/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4014</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0068348/14 of 13/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARABESQUE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3hl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0624251/19 of 14/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5123</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0624251/19 of 14/10/2019)
2) Investment advice (Notification 0624251/19 of 14/10/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0624251/19 of 14/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARAGON FONDKOMMISSION AB

Registered office: Master Samuelsgatan 6, Box 7794

City: 10396 - Stoccolma

Country: Svezia

Notification of Registration: n. 97045074 of 05/06/1997

Registration no.: 620

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97045074 of 05/06/1997)

2) Services related to underwriting (Notification 97045074 of 05/06/1997)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 97045074 of 05/06/1997)

4) Placing of financial instruments without a firm commitment basis (Notification 97045074 of 05/06/1997)

5) Investment advice (Notification 97045074 of 05/06/1997)

6) Execution of orders on behalf of clients (Notification 97045074 of 05/06/1997)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 97045074 of 05/06/1997)

8) 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 (Notification 99057704 of 26/07/1999)

9) Foreign exchange services where these are connected to the provision of investment services (Notification 99057704 of 26/07/1999)

10) Portfolio management (Notification 99057704 of 26/07/1999)

11) Dealing on own account (Notification 99057704 of 26/07/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARAMIS CAPITAL (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>19/17 Strait Street</td>
</tr>
<tr>
<td>City:</td>
<td>1432 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0050246/16 of 30/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4396</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0050246/16 of 30/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARAN ASSET MANAGEMENT AG (ARAN ASSET MANAGEMENT SA)

Registered office: Werdenbergerweg 11

City: Li 9490 - Vaduz

Country: Liechtenstein

Notification of Registration: n. 0128249/17 of 17/11/2017

Registration no.: 4713

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0128249/17 of 17/11/2017)
2) Investment advice (Notification 0128249/17 of 17/11/2017)
3) Execution of orders on behalf of clients (Notification 0128249/17 of 17/11/2017)
4) Portfolio management (Notification 0128249/17 of 17/11/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0128249/17 of 17/11/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARAVIS PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11000225 of 03/01/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3056</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11000225 of 03/01/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARBOUR PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10079525 of 29/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2981</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10079525 of 29/09/2010)
2) Investment advice (Notification 10079525 of 29/09/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10079525 of 29/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARCANO VALORES, A.V., S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Jose' Ortega Y Gasset, 29, 4a Planta</td>
</tr>
<tr>
<td>City:</td>
<td>28006 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10087844 of 27/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3008</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10087844 of 27/10/2010)
2) Placing of financial instruments without a firm commitment basis (Notification 10087844 of 27/10/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10087844 of 27/10/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARCHE WEALTH MANAGEMENT

Registered office: 37 A, Avenue JF Kennedy

City: L 1855 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 0061080/13 of 17/07/2013

Registration no.: 3753

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0061080/13 of 17/07/2013)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0061080/13 of 17/07/2013)

3) Investment advice (Notification 0061080/13 of 17/07/2013)

4) Execution of orders on behalf of clients (Notification 0061080/13 of 17/07/2013)

5) Portfolio management (Notification 0061080/13 of 17/07/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061080/13 of 17/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARCHR LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>49 Carnaby Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 9py - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5097</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARCINVEST AG

Registered office: Meierhofstrasse 1

City: 9490 - Vaduz

Country: Liechtenstein

Notification of Registration: n. 0059472/13 of 10/07/2013

Registration no.: 3788

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059472/13 of 10/07/2013)
2) Investment advice (Notification 0059472/13 of 10/07/2013)
3) Portfolio management (Notification 0059472/13 of 10/07/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059472/13 of 10/07/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARCTIC SECURITIES AS

Registered office: Haakon Viis Gate, 6

City: 0161 - Oslo

Country: Norvegia

Notification of Registration: n. 7087136 of 28/09/2007

Registration no.: 1849

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7087136 of 28/09/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7087136 of 28/09/2007)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7087136 of 28/09/2007)

4) Services related to underwriting (Notification 7087136 of 28/09/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7087136 of 28/09/2007)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7087136 of 28/09/2007)

7) Placing of financial instruments without a firm commitment basis (Notification 7087136 of 28/09/2007)

8) Investment advice (Notification 7087136 of 28/09/2007)

9) Execution of orders on behalf of clients (Notification 7087136 of 28/09/2007)

10) Dealing on own account (Notification 7087136 of 28/09/2007)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 7087136 of 28/09/2007)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARDEA PARTNERS INTERNATIONAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Fore Street Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102252/18 of 09/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4805</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0102252/18 of 09/04/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0102252/18 of 09/04/2018)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0102252/18 of 09/04/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0102252/18 of 09/04/2018)

5) Investment advice (Notification 0102252/18 of 09/04/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102252/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARDEN PARTNERS PLC

Registered office: 17 Highfield Road

City: B15 3du - Birmingham

Country: Regno Unito

Notification of Registration: n. 9061470 of 02/07/2009

Registration no.: 2627

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9061470 of 02/07/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9061470 of 02/07/2009)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 9061470 of 02/07/2009)
4) Investment advice (Notification 9061470 of 02/07/2009)
5) Execution of orders on behalf of clients (Notification 9061470 of 02/07/2009)
6) Dealing on own account (Notification 9061470 of 02/07/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9061470 of 02/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARDEVORA ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 New Bridge Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a2bh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021919/14 of 21/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3931</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0021919/14 of 21/03/2014)
2) Execution of orders on behalf of clients (Notification 0021919/14 of 21/03/2014)
3) Portfolio management (Notification 0021919/14 of 21/03/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021919/14 of 21/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARENA WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>598, 608 Chiswick High Road</td>
</tr>
<tr>
<td>City:</td>
<td>W45rt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>870</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96056590 of 01/07/1996)
3) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
4) Portfolio management (Notification 96056590 of 01/07/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0098531/16 of 04/11/2016)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0098531/16 of 04/11/2016)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0098531/16 of 04/11/2016)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0098531/16 of 04/11/2016)
5) Placing of financial instruments without a firm commitment basis (Notification 0098531/16 of 04/11/2016)
6) Investment advice (Notification 0098531/16 of 04/11/2016)
7) Execution of orders on behalf of clients (Notification 0098531/16 of 04/11/2016)
8) Portfolio management (Notification 0098531/16 of 04/11/2016)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098531/16 of 04/11/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>ARES MANAGEMENT LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 New Burlington St, 6th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3be - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7019806 of 07/03/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1770</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0092081/13 of 26/11/2013)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12022418 of 27/03/2012)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 12022418 of 27/03/2012)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7019806 of 07/03/2007)
5) Investment advice (Notification 7019806 of 07/03/2007)
6) Execution of orders on behalf of clients (Notification 7019806 of 07/03/2007)
7) Portfolio management (Notification 7019806 of 07/03/2007)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 7019806 of 07/03/2007)
9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARETE RESEARCH SERVICES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-8 Hardwick Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1r4rg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068821/17 of 19/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4607</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068821/17 of 19/05/2017)
2) Investment advice (Notification 0068821/17 of 19/05/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARGENTEX LLP

Registered office: 5 Old Bond Street

City: W1s 4 Pd - Londra

Country: Regno Unito

Notification of Registration: n. 0134561/17 of 03/01/2018

Registration no.: 4743

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0134561/17 of 03/01/2018)
2) Execution of orders on behalf of clients (Notification 0134561/17 of 03/01/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0134561/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARGENTIS FINANCIAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite A The Clocktower St Georges Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ct1 2le - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0123259/17 of 02/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4704</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0123259/17 of 02/11/2017)
2) Investment advice (Notification 0123259/17 of 02/11/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0123259/17 of 02/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARGO SECURITIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Olav V’S Gate, 5</td>
</tr>
<tr>
<td>City:</td>
<td>0161 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9013868 of 11/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2529</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 9013868 of 11/02/2009)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9013868 of 11/02/2009)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9013868 of 11/02/2009)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9013868 of 11/02/2009)

5) Services related to underwriting (Notification 9013868 of 11/02/2009)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9013868 of 11/02/2009)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 9013868 of 11/02/2009)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 9013868 of 11/02/2009)

9) Placing of financial instruments without a firm commitment basis (Notification 9013868 of 11/02/2009)

10) Investment advice (Notification 9013868 of 11/02/2009)

11) Execution of orders on behalf of clients (Notification 9013868 of 11/02/2009)
12) Dealing on own account (Notification 9013868 of 11/02/2009)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 9013868 of 11/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARGON FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Ocean Village Promenade</td>
</tr>
<tr>
<td>City:</td>
<td>- Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9079501 of 04/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2667</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0041228/14 of 16/05/2014)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0041228/14 of 16/05/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0041228/14 of 16/05/2014)
4) Dealing on own account (Notification 0041228/14 of 16/05/2014)
5) Investment advice (Notification 9079501 of 04/09/2009)
6) Execution of orders on behalf of clients (Notification 9079501 of 04/09/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9079501 of 04/09/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARGUS STOCKBROKERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Demonstheni Severi Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1080 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10098905 of 02/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3031</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10098905 of 02/12/2010)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10098905 of 02/12/2010)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10098905 of 02/12/2010)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 10098905 of 02/12/2010)
5) Investment advice (Notification 10098905 of 02/12/2010)
6) Execution of orders on behalf of clients (Notification 10098905 of 02/12/2010)
7) Portfolio management (Notification 10098905 of 02/12/2010)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10098905 of 02/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARGUSFX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strovolou 148, 1st Floor</td>
</tr>
<tr>
<td>City:</td>
<td>2048 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0112115/17 of 02/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4688</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0112115/17 of 02/10/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0112115/17 of 02/10/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0112115/17 of 02/10/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0112115/17 of 02/10/2017)

5) Execution of orders on behalf of clients (Notification 0112115/17 of 02/10/2017)

6) Portfolio management (Notification 0112115/17 of 02/10/2017)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0112115/17 of 02/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8015085 of 20/02/2008)
2) Investment advice (Notification 8015085 of 20/02/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8015085 of 20/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARIAN FINANCIAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Appold St</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11101189 of 23/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3325</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0003714/18 of 11/01/2018)
2) Dealing on own account (Notification 0087739/17 of 11/07/2017)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11101189 of 23/12/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11101189 of 23/12/2011)
5) Investment advice (Notification 11101189 of 23/12/2011)
6) Execution of orders on behalf of clients (Notification 11101189 of 23/12/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11101189 of 23/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARION INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 Shepherd Market Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 7qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0008904/17 of 20/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4544</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0008904/17 of 20/01/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0008904/17 of 20/01/2017)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0008904/17 of 20/01/2017)
4) Investment advice (Notification 0008904/17 of 20/01/2017)
5) Execution of orders on behalf of clients (Notification 0008904/17 of 20/01/2017)
6) Portfolio management (Notification 0008904/17 of 20/01/2017)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0008904/17 of 20/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0548005/18 of 27/12/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0824073/19 of 19/12/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0824073/19 of 19/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARLINGTON CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Arlington Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1re - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0319051/18 of 22/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4865</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0319051/18 of 22/08/2018)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0319051/18 of 22/08/2018)
3) Investment advice (Notification 0319051/18 of 22/08/2018)
4) Execution of orders on behalf of clients (Notification 0319051/18 of 22/08/2018)
5) Portfolio management (Notification 0319051/18 of 22/08/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0319051/18 of 22/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARLINGTON GROUP ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>47/48 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 0dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088149/15 of 16/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4268</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0088149/15 of 16/11/2015)
2) Investment advice (Notification 0088149/15 of 16/11/2015)
3) Execution of orders on behalf of clients (Notification 0088149/15 of 16/11/2015)
4) Portfolio management (Notification 0088149/15 of 16/11/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088149/15 of 16/11/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARMA PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1J 8ds - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12096599 of 12/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3574</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0094861/13 of 09/12/2013)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12096599 of 12/12/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12096599 of 12/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

DATE 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARMILA CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s4hp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0067300/14 of 08/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4010</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0067300/14 of 08/08/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0067300/14 of 08/08/2014)
3) Placing of financial instruments without a firm commitment basis (Notification 0067300/14 of 08/08/2014)
4) Investment advice (Notification 0067300/14 of 08/08/2014)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0067300/14 of 08/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARROW FUTURES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 The Boulevard</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 2ub - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0085292/18 of 27/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4795</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0085292/18 of 27/03/2018)

2) Placing of financial instruments without a firm commitment basis (Notification 0085292/18 of 27/03/2018)

3) Investment advice (Notification 0085292/18 of 27/03/2018)

4) Execution of orders on behalf of clients (Notification 0085292/18 of 27/03/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085292/18 of 27/03/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARROWSTREET CAPITAL EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11013633 of 25/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3093</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11013633 of 25/02/2011)
2) Investment advice (Notification 11013633 of 25/02/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11013633 of 25/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ARTIC FUND MANAGEMENT AS

Registered office: Haakon Viis Gate 5

City: 0161 - Oslo

Country: Norvegia

Notification of Registration: n. 11039855 of 06/05/2011

Registration no.: 3138

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11039855 of 06/05/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11039855 of 06/05/2011)

3) Investment advice (Notification 11039855 of 06/05/2011)

4) Portfolio management (Notification 11039855 of 06/05/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11039855 of 06/05/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARTISAN PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 St James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10079553 of 29/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2982</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10079553 of 29/09/2010)  
2) Portfolio management (Notification 10079553 of 29/09/2010)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10079553 of 29/09/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARTS ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Siegfried Ludwig</td>
</tr>
<tr>
<td>City:</td>
<td>3100 - Sankt Polten</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071583/19 of 11/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4945</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0071583/19 of 11/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARTVERA PRIVATE WEALTH MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flat 2 15 Heath Drive</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 7sn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547882/19 of 13/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5076</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0547882/19 of 13/09/2019)
2) Execution of orders on behalf of clients (Notification 0547882/19 of 13/09/2019)
3) Portfolio management (Notification 0547882/19 of 13/09/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547882/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **ARUMPRO CAPITAL LTD**

Registered office: 2 Gregory Afxentiou Street

City: 4003 - Limassol

Country: Cipro

Notification of Registration: n. 0109014/17 of 21/09/2017

Registration no.: 4681

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0109014/17 of 21/09/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0109014/17 of 21/09/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0109014/17 of 21/09/2017)

4) Execution of orders on behalf of clients (Notification 0109014/17 of 21/09/2017)

5) Portfolio management (Notification 0109014/17 of 21/09/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0109014/17 of 21/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARUNDEL GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Arundel House 31a Street James'S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Se1y4jr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0108499/17 of 20/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4680</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0108499/17 of 20/09/2017)
2) Placing of financial instruments without a firm commitment basis (Notification 0108499/17 of 20/09/2017)
3) Investment advice (Notification 0108499/17 of 20/09/2017)
4) Execution of orders on behalf of clients (Notification 0108499/17 of 20/09/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0108499/17 of 20/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ARUP CORPORATE FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Fitzroy Street,</td>
</tr>
<tr>
<td>City:</td>
<td>W1t 4bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0085003/15 of 03/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4256</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0085003/15 of 03/11/2015)

2) Investment advice (Notification 0085003/15 of 03/11/2015)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085003/15 of 03/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: A/S GLOBAL RISK MANAGEMENT LTD. FONDSMAEGLERSELSKAB

Registered office: Strandvejen 7

City: 5500 - Middelfart

Country: Danimarca

Notification of Registration: n. 0152763/18 of 15/05/2018

Registration no.: 4825

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0152763/18 of 15/05/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0152763/18 of 15/05/2018)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0152763/18 of 15/05/2018)

4) Investment advice (Notification 0152763/18 of 15/05/2018)

5) Execution of orders on behalf of clients (Notification 0152763/18 of 15/05/2018)

6) Dealing on own account (Notification 0152763/18 of 15/05/2018)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0152763/18 of 15/05/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASANTE CAPITAL GROUP LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House</td>
</tr>
<tr>
<td>City:</td>
<td>W1 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11016019 of 02/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3097</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11016019 of 02/03/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11016019 of 02/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASHENDEN FINANCE (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 - 10 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022803/16 of 16/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4343</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0022803/16 of 16/03/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022803/16 of 16/03/2016)
3) Dealing on own account (Notification 0088152/17 of 12/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASHMORE INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61 Aldwych</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2b4ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11089898 of 07/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3286</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11089898 of 07/11/2011)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11089898 of 07/11/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11089898 of 07/11/2011)

4) Investment advice (Notification 11089898 of 07/11/2011)

5) Execution of orders on behalf of clients (Notification 11089898 of 07/11/2011)

6) Portfolio management (Notification 11089898 of 07/11/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11089898 of 07/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASN VERMOGENSBEHEER B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bezuidenhoutseweg 153</td>
</tr>
<tr>
<td>City:</td>
<td>2594 Ag - Den Haag</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12090928 of 19/11/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3565</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12090928 of 19/11/2012)
2) Portfolio management (Notification 12090928 of 19/11/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12090928 of 19/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASPAIN 11 ASESORES FINANCIEROS EAFI SL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Veracruz 1 SemisÃ³tano Izquierda</td>
</tr>
<tr>
<td>City:</td>
<td>28036 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0091802/17 of 21/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4639</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0091802/17 of 21/07/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0091802/17 of 21/07/2017)

3) Investment advice (Notification 0091802/17 of 21/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASPINALLS FAMILY OFFICE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Southampton Buildings</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2a 1al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099150 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1971</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7099150 of 07/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099150 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASSET GROWTH EAFI, S.L</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Alcalá 121</td>
</tr>
<tr>
<td>City:</td>
<td>28009 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0028126/14 of 04/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3941</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0028126/14 of 04/04/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0028126/14 of 04/04/2014)
3) Investment advice (Notification 0028126/14 of 04/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASSET MANAGEMENT ONE INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Friday Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98023156 of 30/03/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>695</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 98023156 of 30/03/1998)

3) Investment advice (Notification 98023156 of 30/03/1998)

4) Execution of orders on behalf of clients (Notification 98023156 of 30/03/1998)

5) Portfolio management (Notification 98023156 of 30/03/1998)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 98023156 of 30/03/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASSURE HEDGE (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>46 Syon Lane Isleworth Middlesex</td>
</tr>
<tr>
<td>City:</td>
<td>Tw75nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0428521/18 of 25/10/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4887</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0428521/18 of 25/10/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0428521/18 of 25/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ASSURED GUARANTY FINANCE OVERSEAS LTD

Registered office: Hasilwood House 60 Bishopsgate

City: Ec2n 4aj - Londra

Country: Regno Unito

Notification of Registration: n. 1050006 of 25/06/2001

Registration no.: 1147

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1050006 of 25/06/2001)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 1050006 of 25/06/2001)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ASTEO LUXEMBOURG S.A.R.L

Registered office: 120 Boulevard De La Petrusse

City: L 2330 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 0019338/15 of 17/03/2015

Registration no.: 4129

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0019338/15 of 17/03/2015)
2) Investment advice (Notification 0019338/15 of 17/03/2015)
3) Portfolio management (Notification 0019338/15 of 17/03/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019338/15 of 17/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ASTIR CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Maddox Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2qn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009611 of 05/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3624</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13009611 of 05/02/2013)
2) Investment advice (Notification 13009611 of 05/02/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009611 of 05/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AT GLOBAL MARKETS (UK) LIMITED

Registered office: 11-12 Tokenhouse Yard

City: Ec2r 7as - Londra

Country: Regno Unito

Notification of Registration: n. 0107626/17 of 18/09/2017

Registration no.: 4679

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0107626/17 of 18/09/2017)
2) Execution of orders on behalf of clients (Notification 0107626/17 of 18/09/2017)
3) Dealing on own account (Notification 0107626/17 of 18/09/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0107626/17 of 18/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATAIROS MANAGEMENT UK, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Duke Of York Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0343435/18 of 07/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4872</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0343435/18 of 07/09/2018)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0343435/18 of 07/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATC BROKERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Canada Square Level 33</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0076798/13 of 27/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3822</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0076798/13 of 27/09/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0076798/13 of 27/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATFX GLOBAL MARKETS (CY) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>159 Leontiou A Street</td>
</tr>
<tr>
<td>City:</td>
<td>3022 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0058085/16 of 22/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4415</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0058085/16 of 22/06/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0058085/16 of 22/06/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0058085/16 of 22/06/2016)

4) Execution of orders on behalf of clients (Notification 0058085/16 of 22/06/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0058085/16 of 22/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0126917/18 of 26/04/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0126917/18 of 26/04/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0126917/18 of 26/04/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0126917/18 of 26/04/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0126917/18 of 26/04/2018)

6) Execution of orders on behalf of clients (Notification 0126917/18 of 26/04/2018)

7) Dealing on own account (Notification 0126917/18 of 26/04/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0126917/18 of 26/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>A.T.I. ASSOCIATES (CYPRUS) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>P.O. Box 63099</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>8210 - Paphos</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Cipro</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 11051505 of 07/06/2011</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3163</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11051505 of 07/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATKINS BLAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Princess Road, Ferndown</td>
</tr>
<tr>
<td>City:</td>
<td>Bh22 9jg - Dorset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103101 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2024</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7103101 of 21/11/2007)
2. Investment advice (Notification 7103101 of 21/11/2007)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 7103101 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTIC ALLIANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Waterloo Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5070959 of 26/10/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1585</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5070959 of 26/10/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5070959 of 26/10/2005)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0066436/15 of 17/08/2015)
2. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0066436/15 of 17/08/2015)
3. Investment advice (Notification 0066436/15 of 17/08/2015)
4. Execution of orders on behalf of clients (Notification 0066436/15 of 17/08/2015)
5. Portfolio management (Notification 0066436/15 of 17/08/2015)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 0066436/15 of 17/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTIC EQUITIES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Copthall Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8092675 of 07/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2435</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0158159/19 of 25/03/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8092675 of 07/10/2008)
3) Execution of orders on behalf of clients (Notification 8092675 of 07/10/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8092675 of 07/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTIC FINANCIALS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House One Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0495492/19 of 22/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5065</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0495492/19 of 22/08/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495492/19 of 22/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTIC SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37, Prodromou Street</td>
</tr>
<tr>
<td>City:</td>
<td>1090 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0095912/13 of 12/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3877</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0095912/13 of 12/12/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0095912/13 of 12/12/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0095912/13 of 12/12/2013)

4) Execution of orders on behalf of clients (Notification 0095912/13 of 12/12/2013)

5) Portfolio management (Notification 0095912/13 of 12/12/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095912/13 of 12/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTICOMNIUM (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 St. James’S Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a1nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12084762 of 25/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3539</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12084762 of 25/10/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12084762 of 25/10/2012)

3) Investment advice (Notification 12084762 of 25/10/2012)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12084762 of 25/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLANTIC-PACIFIC CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y6lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99009252 of 11/02/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>756</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0023907/14 of 27/03/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Investment advice (Notification 99009252 of 11/02/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ATLANTIDE ASSET MANAGEMENT LIMITED

Registered office: 66 Grosvenor Street

City: W1k 3jl - Londra

Country: Regno Unito

Notification of Registration: n. 0085687/13 of 29/10/2013

Registration no.: 3837

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0085687/13 of 29/10/2013)
2) Execution of orders on behalf of clients (Notification 0085687/13 of 29/10/2013)
3) Portfolio management (Notification 0085687/13 of 29/10/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085687/13 of 29/10/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ATLINGTON CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sant Andrew’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>- San Gwann</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0532061/18 of 18/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4908</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0532061/18 of 18/12/2018)
2) Portfolio management (Notification 0532061/18 of 18/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ATOMICO (UK) PARTNERS LLP

Registered office: 50 New Bond Street

City: W1s 1bj - Londra

Country: Regno Unito

Notification of Registration: n. 10072607 of 26/08/2010

Registration no.: 2958

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10072607 of 26/08/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10072607 of 26/08/2010)

3) Investment advice (Notification 10072607 of 26/08/2010)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10072607 of 26/08/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: Atonline Ltd

Registered office: 20 Kyriacos Matsis Avenue

City: 1082 - Nicosia

Country: Cipro

Notification of Registration: n. 1077770 of 22/09/2010

Registration no.: 2978

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1077770 of 22/09/2010)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1077770 of 22/09/2010)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1077770 of 22/09/2010)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 1077770 of 22/09/2010)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 1077770 of 22/09/2010)

6) Placing of financial instruments without a firm commitment basis (Notification 1077770 of 22/09/2010)

7) Execution of orders on behalf of clients (Notification 1077770 of 22/09/2010)

8) Dealing on own account (Notification 1077770 of 22/09/2010)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 1077770 of 22/09/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AUGUSTA &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Wardrobe Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 5ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7095639 of 25/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1874</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7095639 of 25/10/2007)
2) Investment advice (Notification 7095639 of 25/10/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7095639 of 25/10/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AUGUSTINE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor 2-5 Minories</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 1bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7093503 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1902</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7093503 of 01/11/2007)
2) Investment advice (Notification 7093503 of 01/11/2007)
3) Execution of orders on behalf of clients (Notification 7093503 of 01/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7093503 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AUREL - BGC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Rue De Berri</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98097538 of 06/05/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>702</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8065878 of 14/07/2008)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8065878 of 14/07/2008)
3) Services related to underwriting (Notification 8065878 of 14/07/2008)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8065878 of 14/07/2008)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 8065878 of 14/07/2008)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8065878 of 14/07/2008)
7) Placing of financial instruments without a firm commitment basis (Notification 8065878 of 14/07/2008)
8) Investment advice (Notification 8065878 of 14/07/2008)
9) Execution of orders on behalf of clients (Notification 8065878 of 14/07/2008)
10) Dealing on own account (Notification 8065878 of 14/07/2008)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 98087221 of 06/11/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AUREUS VERMOGEN &amp; ADVIES B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pla Eugeninsingel 17</td>
</tr>
<tr>
<td>City:</td>
<td>5913 Gk - Venlo</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10018819 of 05/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2805</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

- 1) Investment advice (Notification 10018819 of 05/03/2010)
- 2) Portfolio management (Notification 10018819 of 05/03/2010)
- 3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10018819 of 05/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AURIEL INVESTORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13043144 of 17/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3705</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13043144 of 17/05/2013)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 13043144 of 17/05/2013)
3) Investment advice (Notification 13043144 of 17/05/2013)
4) Portfolio management (Notification 13043144 of 17/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AURORAE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>38 North Audley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6zn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0265404/18 of 19/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4857</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0265404/18 of 19/07/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0265404/18 of 19/07/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0265404/18 of 19/07/2018)

4) Services related to underwriting (Notification 0265404/18 of 19/07/2018)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0265404/18 of 19/07/2018)

6) Investment advice (Notification 0265404/18 of 19/07/2018)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0265404/18 of 19/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AURUM FUNDS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Lxworth Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 3qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9042368 of 07/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2586</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9042368 of 07/05/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9042368 of 07/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AUTONOMOUS RESEARCH LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8sb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012620/15 of 20/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4107</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012620/15 of 20/02/2015)
2) Investment advice (Notification 0012620/15 of 20/02/2015)
3) Execution of orders on behalf of clients (Notification 0012620/15 of 20/02/2015)
4) Dealing on own account (Notification 0012620/15 of 20/02/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012620/15 of 20/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AVA TRADE EU LIMITED

Registered office: Five Lamps Place - Amien Street

City: Dublin1 - Dublino

Country: Irlanda

Notification of Registration: n. 9068076 of 22/07/2009

Registration no.: 2640

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0034348/16 of 18/04/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9068076 of 22/07/2009)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 9068076 of 22/07/2009)
4) Dealing on own account (Notification 9068076 of 22/07/2009)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AVALON CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor 130 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0482274/18 of 21/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4897</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0482274/18 of 21/11/2018)

2) Investment advice (Notification 0482274/18 of 21/11/2018)

3) Execution of orders on behalf of clients (Notification 0482274/18 of 21/11/2018)

4) Dealing on own account (Notification 0482274/18 of 21/11/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0482274/18 of 21/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AVENDUS CAPITAL (UK) PRIVATE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9098897 of 25/11/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2731</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9098897 of 25/11/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9098897 of 25/11/2009)
3) Investment advice (Notification 9098897 of 25/11/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9098897 of 25/11/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AVENUE EUROPE MANAGEMENT LLP

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>1 Knightsbridge 4th Floor</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Sw1x 7lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5098</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0606228/19 of 07/10/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)
3) Services related to underwriting (Notification 0606228/19 of 07/10/2019)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0606228/19 of 07/10/2019)
5) Investment advice (Notification 0606228/19 of 07/10/2019)
6) Execution of orders on behalf of clients (Notification 0606228/19 of 07/10/2019)
7) Portfolio management (Notification 0606228/19 of 07/10/2019)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AVINGTON FINANCIAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Leconfield House Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0098267/17 of 08/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4651</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0098267/17 of 08/08/2017)
2) Investment advice (Notification 0098267/17 of 08/08/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098267/17 of 08/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AVIOR CAPITAL MARKETS INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 St. Swithin’S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 8al - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 66016 of 07/09/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1045</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 66016 of 07/09/2000)
2) Services related to underwriting (Notification 66016 of 07/09/2000)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 66016 of 07/09/2000)
4) Investment advice (Notification 66016 of 07/09/2000)
5) Execution of orders on behalf of clients (Notification 66016 of 07/09/2000)
6) Dealing on own account (Notification 66016 of 07/09/2000)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 66016 of 07/09/2000)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AVIVA INVESTORS GLOBAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St Helen’ S 1 Undershaft</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3p 3dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8034393 of 14/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2282</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12022417 of 27/03/2012)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12022417 of 27/03/2012)  
3) Portfolio management (Notification 8034393 of 14/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AWK GLOBAL INVEST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wildbichlerstrasse 33</td>
</tr>
<tr>
<td>City:</td>
<td>6341 - Ebbs</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4013417 of 17/02/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1422</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4013417 of 17/02/2004)
2) Portfolio management (Notification 4013417 of 17/02/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4013417 of 17/02/2004)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AWM WEALTH ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>56 Fitzwilliam Square North</td>
</tr>
<tr>
<td>City:</td>
<td>D02 X224 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0334869/19 of 11/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5037</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0334869/19 of 11/06/2019)
2) Investment advice (Notification 0334869/19 of 11/06/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0334869/19 of 11/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Services Provided in Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)</td>
</tr>
<tr>
<td>2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>4) Investment advice (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>6) Dealing on own account (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AXA INVESTMENT MANAGERS GS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Newgate Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 7hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8107029 of 25/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2482</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8107029 of 25/11/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8107029 of 25/11/2008)
3) Investment advice (Notification 8107029 of 25/11/2008)
4) Execution of orders on behalf of clients (Notification 8107029 of 25/11/2008)
5) Portfolio management (Notification 8107029 of 25/11/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8107029 of 25/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AXA INVESTMENT MANAGERS IF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>La Defense 4- 100 Esplanade Du General De Gaulle</td>
</tr>
<tr>
<td>City:</td>
<td>92932 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8002385 of 10/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2168</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8002385 of 10/01/2008)
2) Placing of financial instruments without a firm commitment basis (Notification 8002385 of 10/01/2008)
3) Investment advice (Notification 8002385 of 10/01/2008)
4) Execution of orders on behalf of clients (Notification 8002385 of 10/01/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8002385 of 10/01/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 10062421 of 14/07/2010)

2) Investment advice (Notification 10062421 of 14/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AXIA VENTURES GROUP LTD

Registered office: 10, G. Kranidiotis Street

City: 1065 - Nicosia

Country: Cipro

Notification of Registration: n. 11076392 of 07/09/2011

Registration no.: 3243

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11076392 of 07/09/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11076392 of 07/09/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11076392 of 07/09/2011)

4) Services related to underwriting (Notification 11076392 of 07/09/2011)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11076392 of 07/09/2011)

6) Placing of financial instruments without a firm commitment basis (Notification 11076392 of 07/09/2011)

7) Investment advice (Notification 11076392 of 07/09/2011)

8) Execution of orders on behalf of clients (Notification 11076392 of 07/09/2011)

9) Portfolio management (Notification 11076392 of 07/09/2011)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076392 of 07/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
AXICORP LIMITED

30 Crown Place 10th Floor

Ec2a 4eb - Londra

Regno Unito

n. 12035028 of 30/04/2012

3402

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12035028 of 30/04/2012)
2) Execution of orders on behalf of clients (Notification 12035028 of 30/04/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12035028 of 30/04/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AXIO QUANT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Parkshot House 5 Kew Road</td>
</tr>
<tr>
<td>City:</td>
<td>Tw9 2pr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090318/15 of 24/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4272</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0090318/15 of 24/11/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090318/15 of 24/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REcORDER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AXIS CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Canada Square, Mwb Business Exchanges</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13041179 of 14/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3702</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13041179 of 14/05/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13041179 of 14/05/2013)

3) Investment advice (Notification 13041179 of 14/05/2013)

4) Execution of orders on behalf of clients (Notification 13041179 of 14/05/2013)

5) Dealing on own account (Notification 13041179 of 14/05/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13041179 of 14/05/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AXON PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Heathside, Chapel Road</td>
</tr>
<tr>
<td>City:</td>
<td>Rh8 0sx - Surrey</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049241/15 of 18/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4193</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0049241/15 of 18/06/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049241/15 of 18/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: AYERS ALLIANCE FINANCIAL GROUP LIMITED

Registered office: 4, Prophet Iliya Street,

City: 4046 - Limassol

Country: Cipro

Notification of Registration: n. 0094111/14 of 04/12/2014

Registration no.: 4068

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0094111/14 of 04/12/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0094111/14 of 04/12/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0094111/14 of 04/12/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0094111/14 of 04/12/2014)

5) Investment advice (Notification 0094111/14 of 04/12/2014)

6) Execution of orders on behalf of clients (Notification 0094111/14 of 04/12/2014)

7) Portfolio management (Notification 0094111/14 of 04/12/2014)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094111/14 of 04/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AYONDO PORTFOLIO MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Niddarstrasse 91</td>
</tr>
<tr>
<td>City:</td>
<td>60329 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0118935/17 of 20/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4697</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0118935/17 of 20/10/2017)
2) Portfolio management (Notification 0118935/17 of 20/10/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0118935/17 of 20/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)  

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AZR CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Niddry Lodge 51 Holland Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 7jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0103682/17 of 04/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4667</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY  

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 0103682/17 of 04/09/2017)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>AZURA PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor 25-26 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s4hx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0152688/19 of 20/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4977</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0152688/19 of 20/03/2019)
2) Execution of orders on behalf of clients (Notification 0152688/19 of 20/03/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0152688/19 of 20/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BAADER HELVEA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Royal Exchange Building</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3 V3nl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12070322 of 28/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3498</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12070322 of 28/08/2012)
2) Placing of financial instruments without a firm commitment basis (Notification 12070322 of 28/08/2012)
3) Investment advice (Notification 12070322 of 28/08/2012)
4) Execution of orders on behalf of clients (Notification 12070322 of 28/08/2012)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12070322 of 28/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BAILLIE GIFFORD INVESTMENT MANAGEMENT (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4/5 School House Lane East</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547998/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4928</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0547998/18 of 27/12/2018)
2) Investment advice (Notification 0547998/18 of 27/12/2018)
3) Execution of orders on behalf of clients (Notification 0547998/18 of 27/12/2018)
4) Portfolio management (Notification 0547998/18 of 27/12/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547998/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BAILLIE GIFFORD OVERSEAS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Greenside Row</td>
</tr>
<tr>
<td>City:</td>
<td>Eh1 3an - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>591</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7070390 of 27/07/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090936 of 01/11/2007)
3) Portfolio management (Notification 96056590 of 01/07/1996)
4) Services related to underwriting (Notification 97005569 of 27/01/1997)
5) Execution of orders on behalf of clients (Notification 97005569 of 27/01/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BAIN CAPITAL CREDIT, LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House, 7th Floor, Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070583/13 of 27/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3786</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0051480/14 of 19/06/2014)  
2) Portfolio management (Notification 0051480/14 of 19/06/2014)  
3) Investment advice (Notification 0070583/13 of 27/08/2013)  
4) Execution of orders on behalf of clients (Notification 0070583/13 of 27/08/2013)  
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070583/13 of 27/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BALANZ CAPITAL UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Dover Street 48 Floor 1-3</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ff - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0164823/19 of 28/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4999</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0164823/19 of 28/03/2019)
2) Investment advice (Notification 0164823/19 of 28/03/2019)
3) Execution of orders on behalf of clients (Notification 0164823/19 of 28/03/2019)
4) Portfolio management (Notification 0164823/19 of 28/03/2019)
5) Dealing on own account (Notification 0164823/19 of 28/03/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0164823/19 of 28/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

| Investment firm:                              | BALUARTE - CONSULTORES DE INVESTIMENTO, LDA |
| Registered office:                            | Travessa Da Trindade 16-3 D                  |
| City:                                         | 1200-469 - Lisboa                            |
| Country:                                      | Portogallo                                   |
| Notification of Registration:                 | n. 0548020/18 of 27/12/2018                  |
| Registration no.:                             | 4927                                         |

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0548020/18 of 27/12/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0548020/18 of 27/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANCTRUST SECURITIES (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>81-83 Fulham High Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 3ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13007527 of 28/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3615</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13007527 of 28/01/2013)
2) Investment advice (Notification 13007527 of 28/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13007527 of 28/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANGERT PONTIER MARKETMAKESR B.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Postbus 11375</td>
</tr>
<tr>
<td>City:</td>
<td>1001 Gj - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96002785 of 10/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>426</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 96002785 of 10/01/1996)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96002785 of 10/01/1996)

3) Services related to underwriting (Notification 96002785 of 10/01/1996)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 96002785 of 10/01/1996)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96002785 of 10/01/1996)

6) Placing of financial instruments without a firm commitment basis (Notification 96002785 of 10/01/1996)

7) Investment advice (Notification 96002785 of 10/01/1996)

8) Execution of orders on behalf of clients (Notification 96002785 of 10/01/1996)

9) Portfolio management (Notification 96002785 of 10/01/1996)

10) Dealing on own account (Notification 96002785 of 10/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96002785 of 10/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANK AUSTRIA FINANZSERVICE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lassallestrasse 5</td>
</tr>
<tr>
<td>City:</td>
<td>01020 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12364 of 18/02/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>978</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12364 of 18/02/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12364 of 18/02/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANK OF CHINA INTERNATIONAL (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9105827 of 28/12/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2741</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9105827 of 28/12/2009)  
2) Foreign exchange services where these are connected to the provision of investment services (Notification 9105827 of 28/12/2009)  
3) Investment advice (Notification 9105827 of 28/12/2009)  
4) Execution of orders on behalf of clients (Notification 9105827 of 28/12/2009)  
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9105827 of 28/12/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANK OF VALLETTA PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bov Centre, Canon Road</td>
</tr>
<tr>
<td>City:</td>
<td>Svr 9030 - Santa Venera</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11075001 of 31/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3241</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11075001 of 31/08/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11075001 of 31/08/2011)
3) Investment advice (Notification 11075001 of 31/08/2011)
4) Execution of orders on behalf of clients (Notification 11075001 of 31/08/2011)
5) Portfolio management (Notification 11075001 of 31/08/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BANKHAUS SCHEICH WERTPAPIERSPEZIALIST GMGH WPHB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bursenplatz 5, 60313</td>
</tr>
<tr>
<td>City:</td>
<td>- Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059275/15 of 22/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4211</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0059275/15 of 22/07/2015)
2) Services related to underwriting (Notification 0059275/15 of 22/07/2015)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0059275/15 of 22/07/2015)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0059275/15 of 22/07/2015)
5) Placing of financial instruments without a firm commitment basis (Notification 0059275/15 of 22/07/2015)
6) Execution of orders on behalf of clients (Notification 0059275/15 of 22/07/2015)
7) Portfolio management (Notification 0059275/15 of 22/07/2015)
8) Dealing on own account (Notification 0059275/15 of 22/07/2015)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059275/15 of 22/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARCLAYS CAPITAL SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Churchill Place</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5hp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>478</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7098446 of 05/11/2007)

3) 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 (Notification 96059817 of 15/07/1996)

4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

6) Services related to underwriting (Notification 96059817 of 15/07/1996)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 96059817 of 15/07/1996)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)

9) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)

10) Investment advice (Notification 96059817 of 15/07/1996)

11) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)
12) Portfolio management (Notification 96059817 of 15/07/1996)
13) Dealing on own account (Notification 96059817 of 15/07/1996)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BARCLAYS INVESTMENT SOLUTIONS LIMITED

Registered office: 1 Churchill Place

City: E14 5hp - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 141

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0056149/17 of 27/04/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

5) Portfolio management (Notification 96000620 of 03/01/1996)

6) Dealing on own account (Notification 96000620 of 03/01/1996)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

8) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

9) Foreign exchange services where these are connected to the provision of investment services (Notification 96059817 of 15/07/1996)

10) Investment advice (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARING ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Old Bailey</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>347</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Portfolio management (Notification 96000620 of 03/01/1996)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 97042282 of 28/05/1997)
4) Investment advice (Notification 97042282 of 28/05/1997)
5) Execution of orders on behalf of clients (Notification 97042282 of 28/05/1997)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 97042282 of 28/05/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARINGS (U.K.) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61 Aldwych</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2b 4ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4103036 of 10/12/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1500</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4103036 of 10/12/2004)
2) Services related to underwriting (Notification 4103036 of 10/12/2004)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4103036 of 10/12/2004)
4) Investment advice (Notification 4103036 of 10/12/2004)
5) Execution of orders on behalf of clients (Notification 4103036 of 10/12/2004)
6) Portfolio management (Notification 4103036 of 10/12/2004)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 4103036 of 10/12/2004)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
9) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8000468 of 03/01/2008)
10) Placing of financial instruments without a firm commitment basis (Notification 8021872 of 11/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARKER POLAND ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Old Change House 128 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0548015/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4924</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0548015/18 of 27/12/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0548015/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARONS CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Parkside Knightsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7jw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2002161 of 15/01/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1223</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2002161 of 15/01/2002)

2) Investment advice (Notification 2002161 of 15/01/2002)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 2002161 of 15/01/2002)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BARRATT &amp; COOKE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Opie Street, Norwich</td>
</tr>
<tr>
<td>City:</td>
<td>Nr1 3dw - Norfolk</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8051929 of 30/05/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2316</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8051929 of 30/05/2008)
2) Investment advice (Notification 8051929 of 30/05/2008)
3) Execution of orders on behalf of clients (Notification 8051929 of 30/05/2008)
4) Portfolio management (Notification 8051929 of 30/05/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8051929 of 30/05/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BASALT INFRASTRUCTURE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 St. James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1es - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12015948 of 01/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3368</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12015948 of 01/03/2012)
2) Investment advice (Notification 12015948 of 01/03/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12015948 of 01/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BASF METAL FORWARDS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Heron Tower 110 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>E2n4ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8108283 of 01/12/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2479</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 8108283 of 01/12/2008)
2) Dealing on own account (Notification 8108283 of 01/12/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BASI &amp; BASI FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Parker House 104 Hutton Road Shenfield</td>
</tr>
<tr>
<td>City:</td>
<td>Cm15 8nb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068415/15 of 27/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4228</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068415/15 of 27/08/2015)
2) Investment advice (Notification 0068415/15 of 27/08/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068415/15 of 27/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BASTION CAPITAL LONDON LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4-12 Tabernacle Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4lu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4076216 of 19/08/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1465</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 4076216 of 19/08/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BB SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pinners Hall 105-108 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>24</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Execution of orders on behalf of clients (Notification 8078399 of 20/08/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8078399 of 20/08/2008)

4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

6) Services related to underwriting (Notification 96000620 of 03/01/1996)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)

8) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

9) Investment advice (Notification 96000620 of 03/01/1996)

10) Dealing on own account (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BBSP PARTNERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Rue De Balzac</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8092128 of 06/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2430</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8092128 of 06/10/2008)
2) Investment advice (Notification 8092128 of 06/10/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8092128 of 06/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>B*CAPITAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Boulevard Haussmann</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025428/17 of 24/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4565</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0025428/17 of 24/02/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0025428/17 of 24/02/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0025428/17 of 24/02/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0025428/17 of 24/02/2017)

5) Investment advice (Notification 0025428/17 of 24/02/2017)

6) Portfolio management (Notification 0025428/17 of 24/02/2017)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025428/17 of 24/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BCB &amp; PARTNERS SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>68-70 Blvd De La Pâ“trusse</td>
</tr>
<tr>
<td>City:</td>
<td>L 2320 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12011794 of 17/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3361</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12011794 of 17/02/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12011794 of 17/02/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12011794 of 17/02/2012)

4) Investment advice (Notification 12011794 of 17/02/2012)

5) Execution of orders on behalf of clients (Notification 12011794 of 17/02/2012)

6) Portfolio management (Notification 12011794 of 17/02/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12011794 of 17/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BCS PRIME BROKERAGE LTD

Registered office: 25 Old Broad Street International Financial Centre

City: Ec2n1hq - Londra

Country: Regno Unito

Notification of Registration: n. 0090854/13 of 21/11/2013

Registration no.: 3862

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0090854/13 of 21/11/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0090854/13 of 21/11/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0090854/13 of 21/11/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0090854/13 of 21/11/2013)

5) Investment advice (Notification 0090854/13 of 21/11/2013)

6) Execution of orders on behalf of clients (Notification 0090854/13 of 21/11/2013)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090854/13 of 21/11/2013)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BDA PARTNERS (LONDON) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011080/15 of 16/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4099</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011080/15 of 16/02/2015)
2) Investment advice (Notification 0011080/15 of 16/02/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011080/15 of 16/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BDSWISSL HOLDING PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Apostolou Andrea Street 11</td>
</tr>
<tr>
<td>City:</td>
<td>4007 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0076603/13 of 26/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3823</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0076603/13 of 26/09/2013)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 0076603/13 of 26/09/2013)
3. Execution of orders on behalf of clients (Notification 0076603/13 of 26/09/2013)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0076603/13 of 26/09/2013)
5. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0174033/18 of 28/05/2018)
6. Portfolio management (Notification 0174033/18 of 28/05/2018)
7. Dealing on own account (Notification 0444566/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BDT &amp; COMPANY EUROPE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Goethestrasse 34</td>
</tr>
<tr>
<td>City:</td>
<td>D 60313 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0617044/19 of 10/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5121</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0617044/19 of 10/10/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0617044/19 of 10/10/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0617044/19 of 10/10/2019)
4) Placing of financial instruments without a firm commitment basis (Notification 0617044/19 of 10/10/2019)
5) Investment advice (Notification 0617044/19 of 10/10/2019)
6) Execution of orders on behalf of clients (Notification 0617044/19 of 10/10/2019)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0617044/19 of 10/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0097433/16 of 02/11/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0097433/16 of 02/11/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0097433/16 of 02/11/2016)

4) Placing of financial instruments without a firm commitment basis (Notification 0097433/16 of 02/11/2016)

5) Investment advice (Notification 0097433/16 of 02/11/2016)

6) Execution of orders on behalf of clients (Notification 0097433/16 of 02/11/2016)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097433/16 of 02/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BEACH POINT CAPITAL EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>69 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10079536 of 29/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2980</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10079536 of 29/09/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10079536 of 29/09/2010)

3) Investment advice (Notification 10079536 of 29/09/2010)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10079536 of 29/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)  

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BEACON HILL CONSULTANCY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Montagu Pavilion, 8-10 Queensway</td>
</tr>
<tr>
<td>City:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13036113 of 26/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3683</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13036113 of 26/04/2013)
2) Investment advice (Notification 13036113 of 26/04/2013)
3) Execution of orders on behalf of clients (Notification 13036113 of 26/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BEAUFORT SECURITIES LIMITED

Registered office: 131 Finsbury Pavement

City: Ec2a 1nt - Londra

Country: Regno Unito

Notification of Registration: n. 99045831 of 08/06/1999

Registration no.: 798

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 99045831 of 08/06/1999)
3) Services related to underwriting (Notification 99045831 of 08/06/1999)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 99045831 of 08/06/1999)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 99045831 of 08/06/1999)
6) Placing of financial instruments without a firm commitment basis (Notification 99045831 of 08/06/1999)
7) Investment advice (Notification 99045831 of 08/06/1999)
8) Execution of orders on behalf of clients (Notification 99045831 of 08/06/1999)
9) Portfolio management (Notification 99045831 of 08/06/1999)
10) Dealing on own account (Notification 99045831 of 08/06/1999)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 99045831 of 08/06/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BECHTEL FINANCING SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Pilgrim Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 6rn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10083571 of 12/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2990</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10083571 of 12/10/2010)

2) Investment advice (Notification 10083571 of 12/10/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>BEDROCK ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>20 Upper Grosvenor Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1k 7pb - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 5014788 of 09/03/2005</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1526</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 5014788 of 09/03/2005)
2) Investment advice (Notification 5036445 of 19/05/2005)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BEEHIVE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Ellerdale Close Hampstead</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 6be - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3038453 of 09/06/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1372</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3038453 of 09/06/2003)
2) Services related to underwriting (Notification 3038453 of 09/06/2003)
3) Investment advice (Notification 3038453 of 09/06/2003)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 3038453 of 09/06/2003)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BEIT CAPITAL ADVISORS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neuer Wall 71</td>
</tr>
<tr>
<td>City:</td>
<td>22303 - Amburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0533191/18 of 18/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4910</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0533191/18 of 18/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BELAIR HOUSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Boulevard Grande-Duchesse Charlotte</td>
</tr>
<tr>
<td>City:</td>
<td>L1330 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018620/14 of 10/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3925</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0018620/14 of 10/03/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0018620/14 of 10/03/2014)

3) Investment advice (Notification 0018620/14 of 10/03/2014)

4) Portfolio management (Notification 0018620/14 of 10/03/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018620/14 of 10/03/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BELIGHT CAPITAL GROUP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Larnacos Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1046 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444329/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5060</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0444329/19 of 30/07/2019)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0444329/19 of 30/07/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0444329/19 of 30/07/2019)
4) Execution of orders on behalf of clients (Notification 0444329/19 of 30/07/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0444329/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
BELL CAPITAL PARTNERS LLP

Investment firm: BELL CAPITAL PARTNERS LLP
Registered office: 22 Tudor Street
City: Ec4y 0ay - Londra
Country: Regno Unito
Notification of Registration: n. 9094762 of 09/11/2009
Registration no.: 2718

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9094762 of 09/11/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9094762 of 09/11/2009)
3) Placing of financial instruments without a firm commitment basis (Notification 9094762 of 09/11/2009)
4) Investment advice (Notification 9094762 of 09/11/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9094762 of 09/11/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BELL POTTER SECURITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Duke Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9012320 of 05/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2520</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9012320 of 05/02/2009)
2) Investment advice (Notification 9012320 of 05/02/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9012320 of 05/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BELLECAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>203</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Portfolio management (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BELLROCK SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Pont Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x0bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029020/17 of 03/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4570</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0029020/17 of 03/03/2017)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0029020/17 of 03/03/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0029020/17 of 03/03/2017)

4) Investment advice (Notification 0029020/17 of 03/03/2017)

5) Execution of orders on behalf of clients (Notification 0029020/17 of 03/03/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029020/17 of 03/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BENTALLGREENOAK ADVISORS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Sloane Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 9dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083648/15 of 28/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4254</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0083648/15 of 28/10/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083648/15 of 28/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BERCHWOOD PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20-22 Mount Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3sf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13000627 of 04/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3592</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 13000627 of 04/01/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000627 of 04/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BERKELEY MORGAN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>899 Silbury Boulevard Buckinghamshire</td>
</tr>
<tr>
<td>City:</td>
<td>Mk9 3xl - Milton Keynes</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8113107 of 19/12/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2491</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 8113107 of 19/12/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BERKSHIRE GLOBAL ADVISORS LTD

Registered office: 30 Buckingham Gate

City: Sw1e 6nn - Londra

Country: Regno Unito

Notification of Registration: n. 99005540 of 26/01/1999

Registration no.: 754

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9000030 of 02/01/2009)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99005540 of 26/01/1999)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Register of EU Investment Firms: Without Branches

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Bernstein Bank Gmbh</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Maximillian Strasse 13</td>
</tr>
<tr>
<td>City:</td>
<td>80539 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075302/16 of 16/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4457</td>
</tr>
</tbody>
</table>

Services Provided in Italy

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0075302/16 of 16/08/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0075302/16 of 16/08/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075302/16 of 16/08/2016)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0075302/16 of 16/08/2016)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0075302/16 of 16/08/2016)

6) Placing of financial instruments without a firm commitment basis (Notification 0075302/16 of 16/08/2016)

7) Investment advice (Notification 0075302/16 of 16/08/2016)

8) Execution of orders on behalf of clients (Notification 0075302/16 of 16/08/2016)

9) Portfolio management (Notification 0075302/16 of 16/08/2016)

10) Dealing on own account (Notification 0075302/16 of 16/08/2016)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075302/16 of 16/08/2016)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BERNSTEIN FINANCIAL SERVICES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Maximilianstrasse 13</td>
</tr>
<tr>
<td>City:</td>
<td>80539 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018276/14 of 07/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3926</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0018276/14 of 07/03/2014)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0018276/14 of 07/03/2014)
3. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0018276/14 of 07/03/2014)
4. Foreign exchange services where these are connected to the provision of investment services (Notification 0018276/14 of 07/03/2014)
5. Investment advice (Notification 0018276/14 of 07/03/2014)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 0018276/14 of 07/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BEST PRACTICE IFA GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>109-111 High Street Hurstierpoint, West Susses</td>
</tr>
<tr>
<td>City:</td>
<td>Bn6 9pu - Hassocks</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7109456 of 14/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2133</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7109456 of 14/12/2007)
2) Investment advice (Notification 7109456 of 14/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7109456 of 14/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BETA SECURITIES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8, Fanarioton Street</td>
</tr>
<tr>
<td>City:</td>
<td>11472 - Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5000425 of 05/01/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1505</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5000425 of 05/01/2005)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5000425 of 05/01/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BETA 2 LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Old Bailey</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7hw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012198 of 22/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3092</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11012198 of 22/02/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012198 of 22/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>BFIN PRIVATE ADVISORS LP</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Bishopsgate 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10040064 of 04/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2851</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070161/14 of 27/08/2014)
2) Investment advice (Notification 0070161/14 of 27/08/2014)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10040064 of 04/05/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10040064 of 04/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BFINANCE UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Bedford Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 9he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10102660 of 17/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3042</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10102660 of 17/12/2010)
2) Investment advice (Notification 10102660 of 17/12/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10102660 of 17/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BGB WESTON LTD

Registered office: 29 Pall Mall

City: Sw1y 5lt - Londra

Country: Regno Unito

Notification of Registration: n. 9044048 of 12/05/2009

Registration no.: 2587

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9044048 of 12/05/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9044048 of 12/05/2009)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9044048 of 12/05/2009)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 9044048 of 12/05/2009)

5) Investment advice (Notification 9044048 of 12/05/2009)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9044048 of 12/05/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BGC BROKERS L.P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Churchill Place Canary Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5rd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7029259 of 05/04/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1782</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Operation of an OTF (Notification 0001888/18 of 08/01/2018)
2. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7029259 of 05/04/2007)
3. Foreign exchange services where these are connected to the provision of investment services (Notification 7029259 of 05/04/2007)
4. Investment advice (Notification 7029259 of 05/04/2007)
5. Execution of orders on behalf of clients (Notification 7029259 of 05/04/2007)
6. Dealing on own account (Notification 7029259 of 05/04/2007)
7. Reception and transmission of orders in relation to one or more financial instruments (Notification 7029259 of 05/04/2007)
8. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BINARY CAPITAL INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>83 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u6ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10053856 of 14/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2878</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10053856 of 14/06/2010)
2) Portfolio management (Notification 10053856 of 14/06/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10053856 of 14/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BINARY INVESTMENTS (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Mompalao Building Suite 2, Tower Road</td>
</tr>
<tr>
<td>City:</td>
<td>Msd1825 - Msida</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0042388/15 of 26/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4174</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0061512/16 of 04/07/2016)
2) Dealing on own account (Notification 0061512/16 of 04/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Register of EU Investment Firms: Without Branches
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BIRCHWOOD INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Prospect Place</td>
</tr>
<tr>
<td>City:</td>
<td>AL6 9en - Welwyn</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7092060 of 15/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1869</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7092060 of 15/10/2007)
2) Investment advice (Notification 7092060 of 15/10/2007)
3) Execution of orders on behalf of clients (Notification 7092060 of 15/10/2007)
4) Portfolio management (Notification 7092060 of 15/10/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7092060 of 15/10/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BISHOPSFIELD CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>200 Aldersgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 4hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0016703/14 of 28/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3920</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0016703/14 of 28/02/2014)
2) Investment advice (Notification 0016703/14 of 28/02/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0016703/14 of 28/02/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11040470 of 09/05/2011)</td>
</tr>
<tr>
<td>2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11040470 of 09/05/2011)</td>
</tr>
<tr>
<td>3) Investment advice (Notification 11040470 of 09/05/2011)</td>
</tr>
<tr>
<td>4) Execution of orders on behalf of clients (Notification 11040470 of 09/05/2011)</td>
</tr>
<tr>
<td>5) Portfolio management (Notification 11040470 of 09/05/2011)</td>
</tr>
<tr>
<td>6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11040470 of 09/05/2011)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACK KETTLE INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99054016 of 12/07/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>811</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99054016 of 12/07/1999)
3) Investment advice (Notification 99054016 of 12/07/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99054016 of 12/07/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACK PEARL SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Whitefriars Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 8bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0089564/15 of 20/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4269</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0088151/17 of 12/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0089564/15 of 20/11/2015)
3) Execution of orders on behalf of clients (Notification 0089564/15 of 20/11/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0089564/15 of 20/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACK SWAN CAPITAL B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Oude Molstraat 5f</td>
</tr>
<tr>
<td>City:</td>
<td>2513 - L'Aia</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0388965/19 of 04/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5049</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0388965/19 of 04/07/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0388965/19 of 04/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKFRIARS ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Woolgate Exchange 25 Basinghall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 5ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97028758 of 16/04/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>612</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 97028758 of 16/04/1997)
2) Portfolio management (Notification 97028758 of 16/04/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKROCK ADVISORS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Throgmorton Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>345</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 1075218 of 09/10/2001)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11010040 of 14/02/2011)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11010040 of 14/02/2011)
4) Services related to underwriting (Notification 11010040 of 14/02/2011)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11010040 of 14/02/2011)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 11010040 of 14/02/2011)
7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11010040 of 14/02/2011)
8) Placing of financial instruments without a firm commitment basis (Notification 11010040 of 14/02/2011)
9) Execution of orders on behalf of clients (Notification 11010040 of 14/02/2011)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010040 of 14/02/2011)
11) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
12) Investment advice (Notification 96000620 of 03/01/1996)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKROCK INTERNATIONAL, LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Exchange Place One, 1 Semple Street</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 8bl - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99092949 of 21/12/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>963</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 99092949 of 21/12/1999)
3) Portfolio management (Notification 99092949 of 21/12/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Throgmorton Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>872</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 7049139 of 30/05/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96056590 of 01/07/1996)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96056590 of 01/07/1996)
4) Services related to underwriting (Notification 96056590 of 01/07/1996)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96056590 of 01/07/1996)
7) Placing of financial instruments without a firm commitment basis (Notification 96056590 of 01/07/1996)
8) Investment advice (Notification 96056590 of 01/07/1996)
9) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
10) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0083981/16 of 20/09/2016)
2) Portfolio management (Notification 0083981/16 of 20/09/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083981/16 of 20/09/2016)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0453667/18 of 08/11/2018)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0453667/18 of 08/11/2018)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0453667/18 of 08/11/2018)
7) Execution of orders on behalf of clients (Notification 0453667/18 of 08/11/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLACKSTONE INSURANCE SOLUTIONS EUROPE LLP

Registered office: 40 Berkeley Square

City: W1j 5al - Londra

Country: Regno Unito

Notification of Registration: n. 11012188 of 22/02/2011

Registration no.: 3123

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11012188 of 22/02/2011)
2) Investment advice (Notification 11012188 of 22/02/2011)
3) Portfolio management (Notification 11012188 of 22/02/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012188 of 22/02/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKSTONE MOREGATE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Braxted Parked Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cm8 3ga - Essex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7098692 of 06/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1956</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098692 of 06/11/2007)  
2) Investment advice (Notification 7098692 of 06/11/2007)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098692 of 06/11/2007)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLACKSTONE/GSO DEBT FUNDS MANAGEMENT EUROPE LIMITED

Registered office: O‘ Connell Bridge House D‘Olier Street

City: Dublin 2 - Dublino

Country: Irlanda

Notification of Registration: n. 0075051/13 of 18/09/2013

Registration no.: 3815

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0075051/13 of 18/09/2013)
2) Investment advice (Notification 0075051/13 of 18/09/2013)
3) Portfolio management (Notification 0075051/13 of 18/09/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075051/13 of 18/09/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKTOWER FINANCIAL MANAGEMENT (INTERNATIONAL) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Main Street Victoria House</td>
</tr>
<tr>
<td>City:</td>
<td>- Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0095746/15 of 18/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4284</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0095746/15 of 18/12/2015)
2) Investment advice (Notification 0095746/15 of 18/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095746/15 of 18/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **BLACKTOWER FINANCIAL MANAGEMENT LTD**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Fetcham Park House Lower Road Fetcham,</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Kt22 9hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0000083/17 of 02/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4533</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0000083/17 of 02/01/2017)
2) Investment advice (Notification 0000083/17 of 02/01/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0000083/17 of 02/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLACKWELL GLOBAL INVESTMENTS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0019503/16 of 04/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4337</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients  
2) Dealing on own account  
3) Reception and transmission of orders in relation to one or more financial instruments

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0040840/16 of 05/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0040840/16 of 05/05/2016)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0040840/16 of 05/05/2016)

4) Investment advice (Notification 0040840/16 of 05/05/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0040840/16 of 05/05/2016)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLAKENEY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Chelsea Wharf, Lots Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw10 0qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069647/14 of 25/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4022</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069647/14 of 25/08/2014)
2) Investment advice (Notification 0069647/14 of 25/08/2014)
3) Portfolio management (Notification 0069647/14 of 25/08/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069647/14 of 25/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLOOMBERG TRADING FACILITY B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gebouw Byzantium Stadhouderskade 14g</td>
</tr>
<tr>
<td>City:</td>
<td>1054 Es - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0077377/19 of 13/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4946</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an MTF (Notification 0077377/19 of 13/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLOOMBERG TRADING FACILITY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39-45 Finsbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 1pq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065185/15 of 10/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4220</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065185/15 of 10/08/2015)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0072909/16 of 04/08/2016)
3) Operation of an MTF (Notification 0072909/16 of 04/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96006978 of 23/01/1996)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96006978 of 23/01/1996)

3) Services related to underwriting (Notification 96006978 of 23/01/1996)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 96006978 of 23/01/1996)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96006978 of 23/01/1996)

6) Placing of financial instruments without a firm commitment basis (Notification 96006978 of 23/01/1996)

7) Investment advice (Notification 96006978 of 23/01/1996)

8) Execution of orders on behalf of clients (Notification 96006978 of 23/01/1996)

9) Portfolio management (Notification 96006978 of 23/01/1996)

10) Dealing on own account (Notification 96006978 of 23/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96006978 of 23/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLS CAPITAL FONDSMAEGLERSELSKAB A/S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Egebaekvej 98</td>
</tr>
<tr>
<td>City:</td>
<td>2850 - Naerum</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11079372 of 22/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3272</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11079372 of 22/09/2011)
2) Execution of orders on behalf of clients (Notification 11079372 of 22/09/2011)
3) Portfolio management (Notification 11079372 of 22/09/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11079372 of 22/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLUE SUISSE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cornerstone Business Centre, September Square</td>
</tr>
<tr>
<td>City:</td>
<td>Mst 1180 - Mosta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0026829/14 of 03/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3939</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0026829/14 of 03/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLUEBELL CAPITAL PARTNERS LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>2 Eaton Gate</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Sw1w 9bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0757277/19 of 27/11/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5134</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0757277/19 of 27/11/2019)
2) Investment advice (Notification 0757277/19 of 27/11/2019)
3) Execution of orders on behalf of clients (Notification 0757277/19 of 27/11/2019)
4) Portfolio management (Notification 0757277/19 of 27/11/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0757277/19 of 27/11/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLUECOVE LIMITED

Registered office: 10 New Burlington Street

City: W1s 3be - Londra

Country: Regno Unito

Notification of Registration: n. 0105641/19 of 26/02/2019

Registration no.: 4963

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0105641/19 of 26/02/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0105641/19 of 26/02/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0105641/19 of 26/02/2019)

4) Investment advice (Notification 0105641/19 of 26/02/2019)

5) Execution of orders on behalf of clients (Notification 0105641/19 of 26/02/2019)

6) Portfolio management (Notification 0105641/19 of 26/02/2019)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105641/19 of 26/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLUEFIELD PARTNERS LLP

Registered office: 53 Chandos Place

City: WC2N 4HS - Londra

Country: Regno Unito

Notification of Registration: n. 0080535/17 of 20/06/2017

Registration no.: 4622

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0080535/17 of 20/06/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0080535/17 of 20/06/2017)

3) Investment advice (Notification 0080535/17 of 20/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BLUEFIN EUROPE LLP

Registered office: 52 Upper Street

City: N1 0qh - Londra

Country: Regno Unito

Notification of Registration: n. 13033847 of 22/04/2013

Registration no.: 3679

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 13033847 of 22/04/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13033847 of 22/04/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>BLUENEXT</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Palais De La Bourse</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8037497 of 22/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2298</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 8037497 of 22/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BLUETOWER ASSOCIATES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0058806/14 of 14/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3996</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0058806/14 of 14/07/2014)

2) Investment advice (Notification 0058806/14 of 14/07/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0058806/14 of 14/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BMO ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8th Floor, Exchange House Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ny - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96070989 of 04/09/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>574</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96070989 of 04/09/1996)
3. Foreign exchange services where these are connected to the provision of investment services (Notification 96070989 of 04/09/1996)
4. Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96070989 of 04/09/1996)
5. Placing of financial instruments without a firm commitment basis (Notification 96070989 of 04/09/1996)
7. Execution of orders on behalf of clients (Notification 96070989 of 04/09/1996)
8. Portfolio management (Notification 96070989 of 04/09/1996)
9. Reception and transmission of orders in relation to one or more financial instruments (Notification 96070989 of 04/09/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BMO CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>95 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4hg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>29</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12042475 of 21/05/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Services related to underwriting (Notification 96000620 of 03/01/1996)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
6) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
7) Investment advice (Notification 96000620 of 03/01/1996)
8) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
9) Dealing on own account (Notification 96000620 of 03/01/1996)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BN &amp; PARTNERS CAPITAL AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Steinstrasse 33</td>
</tr>
<tr>
<td>City:</td>
<td>50374 - Erftstadt</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0533186/18 of 18/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4915</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0533186/18 of 18/12/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0533186/18 of 18/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BNP PARIBAS ARBITRAGE SNC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160/162 Boulevard Mac Donald</td>
</tr>
<tr>
<td>City:</td>
<td>75019 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97088672 of 31/12/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>670</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4034616 of 19/04/2004)
2) Execution of orders on behalf of clients (Notification 4034616 of 19/04/2004)
3) Services related to underwriting (Notification 8024956 of 21/03/2008)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8024956 of 21/03/2008)
5) Placing of financial instruments without a firm commitment basis (Notification 8024956 of 21/03/2008)
6) Investment advice (Notification 8024956 of 21/03/2008)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8024956 of 21/03/2008)
8) Dealing on own account (Notification 97088672 of 31/12/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Modification 7098302 of 01/11/2007)</td>
</tr>
<tr>
<td>2) Foreign exchange services where these are connected to the provision of investment services (Modification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>3) Investment advice (Modification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>4) Execution of orders on behalf of clients (Modification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>5) Portfolio management (Modification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>6) Reception and transmission of orders in relation to one or more financial instruments (Modification 96000620 of 03/01/1996)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BNP PARIBAS DEALING SERVICES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Boulevard Haussmann</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043580/17 of 04/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4589</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0043580/17 of 04/04/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043580/17 of 04/04/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BNP PARIBAS EQUITIES FRANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Cite' Rougemont</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97086091 of 17/12/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>648</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 8024956 of 21/03/2008)
2) Dealing on own account (Notification 8024956 of 21/03/2008)
3) Execution of orders on behalf of clients (Notification 97086091 of 17/12/1997)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 97086091 of 17/12/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BNY MELLON CAPITAL MARKETS EMEA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12087981 of 07/11/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3554</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0055830/14 of 03/07/2014)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0055830/14 of 03/07/2014)
3) Placing of financial instruments without a firm commitment basis (Notification 0055830/14 of 03/07/2014)
4) Investment advice (Notification 12087981 of 07/11/2012)
5) Execution of orders on behalf of clients (Notification 12087981 of 07/11/2012)
6) Dealing on own account (Notification 12087981 of 07/11/2012)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12087981 of 07/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BNY MELLON INVESTMENT MANAGEMENT EMEA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>373</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0094859/13 of 09/12/2013)
2) Portfolio management (Notification 2014958 of 06/03/2002)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 99083683 of 12/11/1999)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 99083683 of 12/11/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **BOC OPTIONS & FUTURES BV**

**Registered office:** Paleistraat 1

**City:** 1012 Rb - Amsterdam

**Country:** Paesi Bassi

**Notification of Registration:** n. 96002785 of 10/01/1996

**Registration no.:** 425

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96002785 of 10/01/1996)

2) Execution of orders on behalf of clients (Notification 96002785 of 10/01/1996)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96002785 of 10/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BOCI GLOBAL COMMODITIES (UK) LIMITED

Registered office: 1 Lothbury

City: Ec2r7db - Londra

Country: Regno Unito

Notification of Registration: n. 0014690/15 of 27/02/2015

Registration no.: 4124

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0014690/15 of 27/02/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0014690/15 of 27/02/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0014690/15 of 27/02/2015)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0014690/15 of 27/02/2015)

5) Investment advice (Notification 0014690/15 of 27/02/2015)

6) Execution of orders on behalf of clients (Notification 0014690/15 of 27/02/2015)

7) Dealing on own account (Notification 0014690/15 of 27/02/2015)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0014690/15 of 27/02/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOER &amp; OLIJ SECURITIES B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Piet Heinkade 55 5e Verdieping</td>
</tr>
<tr>
<td>City:</td>
<td>1019gm - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0605553/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5094</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0605553/19 of 07/10/2019)
2) Execution of orders on behalf of clients (Notification 0605553/19 of 07/10/2019)
3) Portfolio management (Notification 0605553/19 of 07/10/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0605553/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOERSE STUTTGART CATS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boersentrasse 4</td>
</tr>
<tr>
<td>City:</td>
<td>70174 - Stoccarda</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0267926/19 of 15/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5031</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 0267926/19 of 15/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOFA SECURITIES EUROPE SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51 Rue La Boetie</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0504897/18 of 05/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4904</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0504897/18 of 05/12/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0504897/18 of 05/12/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0504897/18 of 05/12/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0504897/18 of 05/12/2018)

5) Services related to underwriting (Notification 0504897/18 of 05/12/2018)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0504897/18 of 05/12/2018)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0504897/18 of 05/12/2018)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0504897/18 of 05/12/2018)

9) Placing of financial instruments without a firm commitment basis (Notification 0504897/18 of 05/12/2018)

10) Investment advice (Notification 0504897/18 of 05/12/2018)

11) Execution of orders on behalf of clients (Notification 0504897/18 of 05/12/2018)
12) Dealing on own account (Notification 0504897/18 of 05/12/2018)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0504897/18 of 05/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BOGOFINANCE CAPITAL MARKETS LTD

Registered office: Archiepiskopou Makariou 134 Yiota Court Office 101

City: 3021 - Limassol

Country: Cipro

Notification of Registration: n. 0105429/17 of 11/09/2017

Registration no.: 4677

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0105429/17 of 11/09/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0105429/17 of 11/09/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0105429/17 of 11/09/2017)

4) Execution of orders on behalf of clients (Notification 0105429/17 of 11/09/2017)

5) Dealing on own account (Notification 0105429/17 of 11/09/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105429/17 of 11/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOLT MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Crown Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12020625 of 21/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3383</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0089257/17 of 14/07/2017)
2) Execution of orders on behalf of clients (Notification 12020625 of 21/03/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020625 of 21/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BORDIER &amp; CIE (UK) PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>101 The Chambers, Chelsea Harbour</td>
</tr>
<tr>
<td>City:</td>
<td>Sw10 0xf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>850</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96056590 of 01/07/1996)
3) Investment advice (Notification 96056590 of 01/07/1996)
4) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
5) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BOS WEALTH MANAGEMENT EUROPE SA

Registered office: 33 Rue Sainte Zithe

City: L 2763 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 0372009/18 of 26/09/2018

Registration no.: 4874

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0372009/18 of 26/09/2018)
2) Investment advice (Notification 0372009/18 of 26/09/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0372009/18 of 26/09/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOSON ALFA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>54 Vasileos Georgiou A Str., Galatex</td>
</tr>
<tr>
<td>City:</td>
<td>4047 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0159677/19 of 26/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4986</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0159677/19 of 26/03/2019)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0159677/19 of 26/03/2019)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0159677/19 of 26/03/2019)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0159677/19 of 26/03/2019)
5) Investment advice (Notification 0159677/19 of 26/03/2019)
6) Execution of orders on behalf of clients (Notification 0159677/19 of 26/03/2019)
7) Portfolio management (Notification 0159677/19 of 26/03/2019)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159677/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment Firm: BOSTON DIRECT MANAGEMENT (UK) LTD

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Yew Tree Farm Eagle Barnsdale</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Liln69ea - Lincoln</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0495494/19 of 22/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5068</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0495494/19 of 22/08/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0495494/19 of 22/08/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0495494/19 of 22/08/2019)
4) Investment advice (Notification 0495494/19 of 22/08/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495494/19 of 22/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOSTON PRIME LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12012755 of 21/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3362</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12012755 of 21/02/2012)

2) Execution of orders on behalf of clients (Notification 12012755 of 21/02/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12012755 of 21/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment Firm Information

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOTTRIELL ADAMS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Petersham Lane, Wimnorne</td>
</tr>
<tr>
<td>City:</td>
<td>Bh21 4jt - Dorset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7101008 of 14/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2002</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7101008 of 14/11/2007)
2. Investment advice (Notification 7101008 of 14/11/2007)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 7101008 of 14/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOURNE INDEPENDENT FINANCIAL ADVISERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 The Windmills St Marys Close</td>
</tr>
<tr>
<td>City:</td>
<td>Gu34 1ef - Hampshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9090539 of 23/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2712</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9090539 of 23/10/2009)
2) Investment advice (Notification 9090539 of 23/10/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9090539 of 23/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BOURNE PARK CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>127 Mount Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1y 5ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1050026 of 25/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1145</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 1050026 of 25/06/2001)
2) Investment advice (Notification 5032746 of 09/05/2005)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRADBURY HAMILTON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Fleet Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1y 1hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7105528 of 30/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2051</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7105528 of 30/11/2007)
2) Investment advice (Notification 7105528 of 30/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BRADESCO SECURITIES UK LIMITED

Registered office: 25 Old Broad Street

City: Ec2n 1hq - Londra

Country: Regno Unito

Notification of Registration: n. 8051927 of 30/05/2008

Registration no.: 2317

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 12037448 of 07/05/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8051927 of 30/05/2008)
3) Investment advice (Notification 8051927 of 30/05/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8051927 of 30/05/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRANDON HILL CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Tudor Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10076031 of 14/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2968</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0089734/17 of 17/07/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10076031 of 14/09/2010)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10076031 of 14/09/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10076031 of 14/09/2010)
5) Services related to underwriting (Notification 10076031 of 14/09/2010)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 10076031 of 14/09/2010)
7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 10076031 of 14/09/2010)
8) Placing of financial instruments without a firm commitment basis (Notification 10076031 of 14/09/2010)
9) Investment advice (Notification 10076031 of 14/09/2010)
10) Execution of orders on behalf of clients (Notification 10076031 of 14/09/2010)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 10076031 of 14/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BRANDYWINE GLOBAL INVESTMENT MANAGEMENT (EUROPE) LIMITED

Registered office: 110 Bishopsgate

City: Ec2n 4ay - Londra

Country: Regno Unito

Notification of Registration: n. 8028448 of 31/03/2008

Registration no.: 2263

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8028448 of 31/03/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8028448 of 31/03/2008)
3) Investment advice (Notification 8028448 of 31/03/2008)
4) Execution of orders on behalf of clients (Notification 8028448 of 31/03/2008)
5) Portfolio management (Notification 8028448 of 31/03/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8028448 of 31/03/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRAVE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cask House, Hazeley Road, Twyford</td>
</tr>
<tr>
<td>City:</td>
<td>So21 1pt - Winchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070780 of 12/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2942</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10070780 of 12/08/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10070780 of 12/08/2010)

3) Placing of financial instruments without a firm commitment basis (Notification 10070780 of 12/08/2010)

4) Investment advice (Notification 10070780 of 12/08/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070780 of 12/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BREWIN DOLPHIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Smithfield Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 9bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>33</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) 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 (Notification 96000620 of 03/01/1996)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
6) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
7) Investment advice (Notification 96000620 of 03/01/1996)
8) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
9) Portfolio management (Notification 96000620 of 03/01/1996)
10) Dealing on own account (Notification 96000620 of 03/01/1996)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BREWIN DOLPHIN WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Richview Office Park</td>
</tr>
<tr>
<td>City:</td>
<td>D14h7r0 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0013623/14 of 19/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3909</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0013623/14 of 19/02/2014)
2) Investment advice (Notification 0013623/14 of 19/02/2014)
3) Portfolio management (Notification 0013623/14 of 19/02/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0013623/14 of 19/02/2014)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0046518/19 of 29/01/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRIAN J HYMAN (LIFE &amp; PENSIONS) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Centennial Park, Centennial Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Wd6 3fg - Herts</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8013594 of 14/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2215</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8013594 of 14/02/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8013594 of 14/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BRICEAMERY CAPITAL LTD

Registered office: 1 Albermarle Street

City: W1s4ha - Londra

Country: Regno Unito

Notification of Registration: n. 0036626/14 of 05/05/2014

Registration no.: 3953

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0036626/14 of 05/05/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0036626/14 of 05/05/2014)
3) Placing of financial instruments without a firm commitment basis (Notification 0087298/16 of 03/10/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRIGADE CAPITAL UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Southwest House 11a Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4lr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0053289/18 of 27/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4780</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0053289/18 of 27/02/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053289/18 of 27/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BRIGHTFX CAPITAL LTD

Registered office: 24, Piraeus Street, 4th Floor, Office 401

City: 2023 - Strovolos

Country: Cipro

Notification of Registration: n. 0136125/17 of 14/12/2017

Registration no.: 4726

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0136125/17 of 14/12/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0136125/17 of 14/12/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0136125/17 of 14/12/2017)

4) Execution of orders on behalf of clients (Notification 0136125/17 of 14/12/2017)

5) Dealing on own account (Notification 0136125/17 of 14/12/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136125/17 of 14/12/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRIGHTSPHERE INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Lambeth Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4gg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047843 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2861</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0106720/16 of 01/12/2016)  
2) Investment advice (Notification 10047843 of 25/05/2010)  
3) Portfolio management (Notification 10047843 of 25/05/2010)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047843 of 25/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRITANNIA GLOBAL INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bruton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6px - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029181/17 of 06/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4573</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0029181/17 of 06/03/2017)
2) Execution of orders on behalf of clients (Notification 0029181/17 of 06/03/2017)
3) Dealing on own account (Notification 0029181/17 of 06/03/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029181/17 of 06/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRITANNIA GLOBAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Jackson House, 18 Saville Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>27</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0089262/17 of 14/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
5) Investment advice (Notification 96000620 of 03/01/1996)
6) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
7) Portfolio management (Notification 96000620 of 03/01/1996)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BRITANNIC ENERGY TRADING LIMITED

Registered office: 20 Canada Square

City: E14 5nj - Londra

Country: Regno Unito

Notification of Registration: n. 9046943 of 19/05/2009

Registration no.: 2599

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0000129/18 of 03/01/2018)
2) 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 (Notification 9046943 of 19/05/2009)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9046943 of 19/05/2009)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9046943 of 19/05/2009)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9046943 of 19/05/2009)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 9046943 of 19/05/2009)
7) Investment advice (Notification 9046943 of 19/05/2009)
8) Execution of orders on behalf of clients (Notification 9046943 of 19/05/2009)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 9046943 of 19/05/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRITANNIC TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5nj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9046943 of 19/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2598</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 9046943 of 19/05/2009)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9046943 of 19/05/2009)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9046943 of 19/05/2009)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9046943 of 19/05/2009)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 9046943 of 19/05/2009)

6) Investment advice (Notification 9046943 of 19/05/2009)

7) Execution of orders on behalf of clients (Notification 9046943 of 19/05/2009)

8) Dealing on own account (Notification 9046943 of 19/05/2009)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 9046943 of 19/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: BROAD SECURITIES LLP

Registered office: 1 Fore Street Avenue

City: Ec2y 9dt - Londra

Country: Regno Unito

Notification of Registration: n. 13038746 of 07/05/2013

Registration no.: 3697

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0090525/17 of 18/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13038746 of 07/05/2013)
3) Investment advice (Notification 13038746 of 07/05/2013)
4) Execution of orders on behalf of clients (Notification 13038746 of 07/05/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13038746 of 07/05/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROADSTONE CORPORATE BENEFITS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 7eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13045872 of 24/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3715</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13045872 of 24/05/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 13045872 of 24/05/2013)
3) Investment advice (Notification 13045872 of 24/05/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13045872 of 24/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROCTAGON PRIME LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Christou Samara 2 Morgo Court</td>
</tr>
<tr>
<td>City:</td>
<td>4001 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069765/17 of 23/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4610</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0069765/17 of 23/05/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0069765/17 of 23/05/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0069765/17 of 23/05/2017)

4) Execution of orders on behalf of clients (Notification 0069765/17 of 23/05/2017)

5) Dealing on own account (Notification 0069765/17 of 23/05/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069765/17 of 23/05/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROKERCREDITSERVICE (CYPRUS) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Spyrou Kyprianou &amp; 1 Oktovriou 1</td>
</tr>
<tr>
<td>City:</td>
<td>4004 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13035899 of 26/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3686</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0014236/16 of 18/02/2016)

2) Services related to underwriting (Notification 0014236/16 of 18/02/2016)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0014236/16 of 18/02/2016)

4) Placing of financial instruments without a firm commitment basis (Notification 0014236/16 of 18/02/2016)

5) 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 (Notification 13035899 of 26/04/2013)

6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13035899 of 26/04/2013)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13035899 of 26/04/2013)

8) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 13035899 of 26/04/2013)

9) Foreign exchange services where these are connected to the provision of investment services (Notification 13035899 of 26/04/2013)

10) Execution of orders on behalf of clients (Notification 13035899 of 26/04/2013)

11) Portfolio management (Notification 13035899 of 26/04/2013)
12) Dealing on own account (Notification 13035899 of 26/04/2013)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 13035899 of 26/04/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROKERTEC EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>163</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0095527/13 of 11/12/2013)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7089138 of 01/11/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Operation of an MTF (Notification 8015603 of 21/02/2008)
5) Investment advice (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0547876/19 of 13/09/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0547876/19 of 13/09/2019)
3) Investment advice (Notification 0547876/19 of 13/09/2019)
4) Execution of orders on behalf of clients (Notification 0547876/19 of 13/09/2019)
5) Portfolio management (Notification 0547876/19 of 13/09/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547876/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BROOKFIELD GLOBAL INFRASTRUCTURE ADVISOR LIMITED

Registered office: 99 Bishopsgate 2nd Floor

City: Wc2m 3xd - Londra

Country: Regno Unito

Notification of Registration: n. 0093855/17 of 27/07/2017

Registration no.: 4644

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093855/17 of 27/07/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093855/17 of 27/07/2017)

3) Investment advice (Notification 0093855/17 of 27/07/2017)

4) Execution of orders on behalf of clients (Notification 0093855/17 of 27/07/2017)

5) Portfolio management (Notification 0093855/17 of 27/07/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093855/17 of 27/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKFIELD GLOBAL PROPERTY ADVISOR LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Bishopsgate 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m3xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093853/17 of 27/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4643</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093853/17 of 27/07/2017)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093853/17 of 27/07/2017)
3. Investment advice (Notification 0093853/17 of 27/07/2017)
4. Execution of orders on behalf of clients (Notification 0093853/17 of 27/07/2017)
5. Portfolio management (Notification 0093853/17 of 27/07/2017)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 0093853/17 of 27/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKFIELD GLOBAL RENEWABLE ENERGY ADVISOR LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Bishopsgate 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m3xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093846/17 of 27/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4645</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093846/17 of 27/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093846/17 of 27/07/2017)
3) Investment advice (Notification 0093846/17 of 27/07/2017)
4) Execution of orders on behalf of clients (Notification 0093846/17 of 27/07/2017)
5) Portfolio management (Notification 0093846/17 of 27/07/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093846/17 of 27/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKFIELD PRIVATE CAPITAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Bishopsgate 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m3xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0058084/16 of 22/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4413</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0058084/16 of 22/06/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0058084/16 of 22/06/2016)
3) Investment advice (Notification 0058084/16 of 22/06/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0058084/16 of 22/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(*DATE 10/01/2020*)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKFIELD PUBLIC SECURITIES GROUP (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012838 of 23/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3085</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11012838 of 23/02/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11012838 of 23/02/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11012838 of 23/02/2011)

4) Investment advice (Notification 11012838 of 23/02/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012838 of 23/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKS MACDONALD ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>111-113 Park Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 7jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4048238 of 18/05/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1443</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4048238 of 18/05/2004)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 4048238 of 18/05/2004)

3) Investment advice (Notification 4048238 of 18/05/2004)

4) Execution of orders on behalf of clients (Notification 4048238 of 18/05/2004)

5) Portfolio management (Notification 4048238 of 18/05/2004)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 4048238 of 18/05/2004)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROOKS MACDONALD FINANCIAL CONSULTING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>111-113 Park Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 7jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7096752 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1923</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096752 of 01/11/2007)
2) Investment advice (Notification 7096752 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096752 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROWN ADVISORY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>44 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11003685 of 20/01/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3066</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0036064/16 of 21/04/2016)
2) Investment advice (Notification 11003685 of 20/01/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11003685 of 20/01/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BROWN BROTHERS HARRIMAN INVESTOR SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5016971 of 18/03/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1530</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12056407 of 04/07/2012)

2) Investment advice (Notification 12056407 of 04/07/2012)

3) Execution of orders on behalf of clients (Notification 5016971 of 18/03/2005)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 5016971 of 18/03/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### SERVICES PROVIDED IN ITALY

1) 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 (Notification 11062918 of 14/07/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11062918 of 14/07/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11062918 of 14/07/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11062918 of 14/07/2011)

5) Investment advice (Notification 11062918 of 14/07/2011)

6) Execution of orders on behalf of clients (Notification 11062918 of 14/07/2011)

7) Portfolio management (Notification 11062918 of 14/07/2011)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11062918 of 14/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BRYAN GARNIER &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 1bn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8097816 of 23/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2452</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8097816 of 23/10/2008)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 8097816 of 23/10/2008)

3) Investment advice (Notification 8097816 of 23/10/2008)

4) Execution of orders on behalf of clients (Notification 8097816 of 23/10/2008)

5) Dealing on own account (Notification 8097816 of 23/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BTG PACTUAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House 4-19 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6br - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444555/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5061</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0444555/19 of 30/07/2019)
2) Execution of orders on behalf of clients (Notification 0444555/19 of 30/07/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0444555/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BTIG LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Princes Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r8aq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11060515 of 05/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3193</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 11060515 of 05/07/2011)
2) Dealing on own account (Notification 11060515 of 05/07/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11060515 of 05/07/2011)

Please make reference to the Supervisory home Authority **website** in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BULBROKERS EAD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 Krakra Street</td>
</tr>
<tr>
<td>City:</td>
<td>1504 - Sofia</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0073247/14 of 11/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4034</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0073247/14 of 11/09/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0073247/14 of 11/09/2014)
3) Placing of financial instruments without a firm commitment basis (Notification 0073247/14 of 11/09/2014)
4) Execution of orders on behalf of clients (Notification 0073247/14 of 11/09/2014)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073247/14 of 11/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BURGOYNE CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Onslow Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw7 3aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0007308/14 of 31/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3901</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0007308/14 of 31/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: BURY STREET CAPITAL LTD

Registered office: 33 St James’ S Square

City: Sw1y 4js - Londra

Country: Regno Unito

Notification of Registration: n. 7091227 of 01/11/2007

Registration no.: 1909

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0017784/15 of 11/03/2015)

2) Investment advice (Notification 7091227 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## Investment firm:

**BUX B.V.**

### Registered office:
Spuistraat 114b

### City:
1912 Va - Amsterdam

### Country:
Paesi Bassi

### Notification of Registration:
n. 0071572/19 of 11/02/2019

### Registration no.:
4942

### SERVICES PROVIDED IN ITALY

1. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0071572/19 of 11/02/2019)

2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0071572/19 of 11/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BUX FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16-20 Ely Place, Audrey House</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1n 6sn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97080530 of 17/11/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>641</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9075814 of 17/08/2009)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 9075814 of 17/08/2009)
4) Placing of financial instruments without a firm commitment basis (Notification 9075814 of 17/08/2009)
5) Execution of orders on behalf of clients (Notification 9075814 of 17/08/2009)
6) Dealing on own account (Notification 9075814 of 17/08/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9075814 of 17/08/2009)
8) Foreign exchange services where these are connected to the provision of investment services (Notification 97080530 of 17/11/1997)
9) Investment advice (Notification 97080530 of 17/11/1997)
10) Portfolio management (Notification 97080530 of 17/11/1997)

Please make reference to the Supervisory home Authority **website** in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>BVB ADVISORY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Madeira Park Tunbridge Wells,</td>
</tr>
<tr>
<td>City:</td>
<td>Tn2 5sy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0055830/16 of 15/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4408</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0055830/16 of 15/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>BYHIRAS (EUROPE) LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2qp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11092430 of 15/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3297</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11092430 of 15/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
C B FINANCIAL SERVICES LIMITED

6th Floor

W6 Onb - Londra

Regno Unito

n. 9064560 of 10/07/2009

2633

SERVICES PROVIDED IN ITALY

1) 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 (Notification 9064560 of 10/07/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9064560 of 10/07/2009)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 9064560 of 10/07/2009)

4) Execution of orders on behalf of clients (Notification 9064560 of 10/07/2009)

5) Dealing on own account (Notification 9064560 of 10/07/2009)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9064560 of 10/07/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>C- QUADRAT KAPITALANLAGE AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rosenbursenstrasse 2</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1078267 of 16/10/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1189</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1078267 of 16/10/2001)
2) Portfolio management (Notification 1078267 of 16/10/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1078267 of 16/10/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CA INDOSUEZ WEALTH (GLOBAL STRUCTURING)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Avenue Pasteur</td>
</tr>
<tr>
<td>City:</td>
<td>L-2311 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8073841 of 04/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2393</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8073841 of 04/08/2008)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8073841 of 04/08/2008)
3) Investment advice (Notification 8073841 of 04/08/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4077799 of 27/08/2004)</td>
</tr>
<tr>
<td>2) Reception and transmission of orders in relation to one or more financial instruments (Notification 4077799 of 27/08/2004)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CADOGAN SECURITIES UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>272-274 Vauxhall Bridge Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 1bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13021397 of 18/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3660</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0099859/17 of 16/08/2017)
2) Execution of orders on behalf of clients (Notification 13021397 of 18/03/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13021397 of 18/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CADWYN CAPITAL LLP

Registered office: 5 Castle Arcade Balcony

City: Cf10 1by - Cardiff

Country: Regno Unito

Notification of Registration: n. 10104765 of 28/12/2010

Registration no.: 3050

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 10104765 of 28/12/2010)
2) Investment advice (Notification 10104765 of 28/12/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10104765 of 28/12/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAIRN LOAN INVESTMENTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Knightsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x7ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094113/14 of 04/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4070</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0094113/14 of 04/12/2014)
2) Investment advice (Notification 0094113/14 of 04/12/2014)
3) Execution of orders on behalf of clients (Notification 0094113/14 of 04/12/2014)
4) Portfolio management (Notification 0094113/14 of 04/12/2014)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094113/14 of 04/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CAISSON INVESTMENT MANAGEMENT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>7 Birchin Lane</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec3v 9bw - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 10043132 of 12/05/2010</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2857</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10043132 of 12/05/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10043132 of 12/05/2010)

3) Portfolio management (Notification 10043132 of 12/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CALAMATTA CUSCHIERI INVESTMENT SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ewropa Business Centre, Triq Dun Karm</td>
</tr>
<tr>
<td>City:</td>
<td>9034 - B'Kara</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0104840/17 of 07/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4669</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0104840/17 of 07/09/2017)

2) Placing of financial instruments without a firm commitment basis (Notification 0104840/17 of 07/09/2017)

3) Execution of orders on behalf of clients (Notification 0104840/17 of 07/09/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0104840/17 of 07/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CALAMOS INVESTMENTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070119 of 10/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2939</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10070119 of 10/08/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10070119 of 10/08/2010)
3) Investment advice (Notification 10070119 of 10/08/2010)
4) Execution of orders on behalf of clients (Notification 10070119 of 10/08/2010)
5) Portfolio management (Notification 10070119 of 10/08/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070119 of 10/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CALIBURN CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Time &amp; Life Building 1 Bruton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6tl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6055287 of 27/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1671</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6055287 of 27/06/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6055287 of 27/06/2006)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAMBRIA LTD

Registered office: 212 Piccadilly

City: W1j 9hf - Londra

Country: Regno Unito

Notification of Registration: n. 11045922 of 23/05/2011

Registration no.: 3158

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11045922 of 23/05/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11045922 of 23/05/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11045922 of 23/05/2011)

4) Investment advice (Notification 11045922 of 23/05/2011)

5) Execution of orders on behalf of clients (Notification 11045922 of 23/05/2011)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11045922 of 23/05/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAMBRIDGE ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8012921 of 12/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2210</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 12012005 of 20/02/2012)
2) Portfolio management (Notification 12012005 of 20/02/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12012005 of 20/02/2012)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8012921 of 12/02/2008)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8012921 of 12/02/2008)
6) Investment advice (Notification 8012921 of 12/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAMBRIDGE CORPORATE CONSULTANTS LIMITED

Registered office: Harston Manor

City: Cb2 5nt - Cambridge

Country: Regno Unito

Notification of Registration: n. 96059817 of 15/07/1996

Registration no.: 483

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

3) Investment advice (Notification 96059817 of 15/07/1996)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAMBRIDGE MERCANTILE RISK MANAGEMENT (UK) LTD

Registered office: 71 Fenchurch Street

City: Ec3m 4bs - Londra

Country: Regno Unito

Notification of Registration: n. 0093261/14 of 01/12/2014

Registration no.: 4066

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0093261/14 of 01/12/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0093261/14 of 01/12/2014)

3) Placing of financial instruments without a firm commitment basis (Notification 0093261/14 of 01/12/2014)

4) Execution of orders on behalf of clients (Notification 0093261/14 of 01/12/2014)

5) Dealing on own account (Notification 0093261/14 of 01/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAMCAP MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0247799/18 of 09/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4848</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0247799/18 of 09/07/2018)
2) Execution of orders on behalf of clients (Notification 0247799/18 of 09/07/2018)
3) Dealing on own account (Notification 0247799/18 of 09/07/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0247799/18 of 09/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAMPBELL LUTYENS &amp; CO. LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Burlington Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5050849 of 19/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1567</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5050849 of 19/07/2005)
2) Placing of financial instruments without a firm commitment basis (Notification 5050849 of 19/07/2005)
3) Investment advice (Notification 5050849 of 19/07/2005)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 5050849 of 19/07/2005)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAMPBELL O’CONNOR &amp; COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Cope Street</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072169/13 of 03/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3799</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0072169/13 of 03/09/2013)
2) Services related to underwriting (Notification 0072169/13 of 03/09/2013)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0072169/13 of 03/09/2013)
4) Placing of financial instruments without a firm commitment basis (Notification 0072169/13 of 03/09/2013)
5) Investment advice (Notification 0072169/13 of 03/09/2013)
6) Execution of orders on behalf of clients (Notification 0072169/13 of 03/09/2013)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072169/13 of 03/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAMPION CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Beaumont Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ox1 2np - Oxford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054509/14 of 30/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3987</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0054509/14 of 30/06/2014)
2) Investment advice (Notification 0054509/14 of 30/06/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054509/14 of 30/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANACCORD GENUITY FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7qr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11072711 of 22/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3235</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11072711 of 22/08/2011)
2) Investment advice (Notification 11072711 of 22/08/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11072711 of 22/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANACCORD GENUITY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7qr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97005571 of 27/01/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>596</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97005571 of 27/01/1997)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 97005571 of 27/01/1997)
4) Services related to underwriting (Notification 97005571 of 27/01/1997)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 97005571 of 27/01/1997)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 97005571 of 27/01/1997)
7) Placing of financial instruments without a firm commitment basis (Notification 97005571 of 27/01/1997)
8) Investment advice (Notification 97005571 of 27/01/1997)
9) Execution of orders on behalf of clients (Notification 97005571 of 27/01/1997)
10) Portfolio management (Notification 97005571 of 27/01/1997)
11) Dealing on own account (Notification 97005571 of 27/01/1997)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 97005571 of 27/01/1997)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANACCORD GENUITY WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7qr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12044106 of 24/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3433</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12044106 of 24/05/2012)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12044106 of 24/05/2012)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 12044106 of 24/05/2012)
4) Investment advice (Notification 12044106 of 24/05/2012)
5) Execution of orders on behalf of clients (Notification 12044106 of 24/05/2012)
6) Portfolio management (Notification 12044106 of 24/05/2012)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12044106 of 24/05/2012)
8) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13007530 of 28/01/2013)
9) Services related to underwriting (Notification 13007530 of 28/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANSON LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0137574/17 of 19/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4733</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0137574/17 of 19/12/2017)
2) Investment advice (Notification 0137574/17 of 19/12/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0137574/17 of 19/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANTOR FITZGERALD EUROPE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Churchill Place</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5rb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99077233 of 21/10/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>942</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0614243/19 of 09/10/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0614243/19 of 09/10/2019)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0614243/19 of 09/10/2019)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 4060598 of 28/06/2004)

5) Placing of financial instruments without a firm commitment basis (Notification 4060598 of 28/06/2004)

6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5019246 of 25/03/2005)

7) Services related to underwriting (Notification 5049248 of 12/07/2005)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8042146 of 06/05/2008)

9) Foreign exchange services where these are connected to the provision of investment services (Notification 99077233 of 21/10/1999)

10) Investment advice (Notification 99077233 of 21/10/1999)

11) Execution of orders on behalf of clients (Notification 99077233 of 21/10/1999)
12) Dealing on own account (Notification 99077233 of 21/10/1999)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 99077233 of 21/10/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
CANTOR FITZGERALD IRELAND LIMITED

Registered office: 75 St. Stephens Green

City: Dublin 2 - Dublino

Country: Irlanda

Notification of Registration: n. 13005375 of 22/01/2013

Registration no.: 3608

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13005375 of 22/01/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13005375 of 22/01/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 13005375 of 22/01/2013)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 13005375 of 22/01/2013)

5) Placing of financial instruments without a firm commitment basis (Notification 13005375 of 22/01/2013)

6) Investment advice (Notification 13005375 of 22/01/2013)

7) Execution of orders on behalf of clients (Notification 13005375 of 22/01/2013)

8) Portfolio management (Notification 13005375 of 22/01/2013)

9) Dealing on own account (Notification 13005375 of 22/01/2013)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 13005375 of 22/01/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CANYON CAPITAL ADVISORS (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House, 1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068339/14 of 13/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4012</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0068339/14 of 13/08/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068339/14 of 13/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAPEOS LTD
Registered office: 16 Lynton Avenue London
City: W13 0eb - Londra
Country: Regno Unito
Notification of Registration: n. 0239395/19 of 02/05/2019
Registration no.: 5023

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0239395/19 of 02/05/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0239395/19 of 02/05/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL ADVISORY PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>47 Montpelier Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw7 1jx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047835 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2860</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10047835 of 25/05/2010)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 10047835 of 25/05/2010)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 10047835 of 25/05/2010)
4) Investment advice (Notification 10047835 of 25/05/2010)
5) Execution of orders on behalf of clients (Notification 10047835 of 25/05/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047835 of 25/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAPITAL ALLIANCE PARTNERS LIMITED

Registered office: 46 Great Marlborough Street

City: W1f 7jw - Londra

Country: Regno Unito

Notification of Registration: n. 7051684 of 04/06/2007

Registration no.: 1809

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7051684 of 04/06/2007)
2) Investment advice (Notification 7051684 of 04/06/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7051684 of 04/06/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL COM SV INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 Octovriou, 237, Lophitis Business Center II</td>
</tr>
<tr>
<td>City:</td>
<td>3035 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0063679/17 of 08/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4601</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0063679/17 of 08/05/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0063679/17 of 08/05/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0063679/17 of 08/05/2017)

4) Execution of orders on behalf of clients (Notification 0063679/17 of 08/05/2017)

5) Dealing on own account (Notification 0063679/17 of 08/05/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0063679/17 of 08/05/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL COM (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fourth Floor 64-65 Vincent Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1p 2nu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0527957/18 of 14/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4909</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0527957/18 of 14/12/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0527957/18 of 14/12/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0527957/18 of 14/12/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0527957/18 of 14/12/2018)

5) Execution of orders on behalf of clients (Notification 0527957/18 of 14/12/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0527957/18 of 14/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL DEPOSIT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>54 The Enterprise Centre, Cranborne Road</td>
</tr>
<tr>
<td>City:</td>
<td>En6 3dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13019996 of 12/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3655</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13019996 of 12/03/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13019996 of 12/03/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 13019996 of 12/03/2013)

4) Investment advice (Notification 13019996 of 12/03/2013)

5) Execution of orders on behalf of clients (Notification 13019996 of 12/03/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13019996 of 12/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL FOUR MANAGEMENT FONDSMAEGLERSELSKAB A/S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Per Henrik Lings Allé 2, 8</td>
</tr>
<tr>
<td>City:</td>
<td>2100 - Copenhagen</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10007377 of 28/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2766</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10007377 of 28/01/2010)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 10007377 of 28/01/2010)
3) Investment advice (Notification 10007377 of 28/01/2010)
4) Execution of orders on behalf of clients (Notification 10007377 of 28/01/2010)
5) Portfolio management (Notification 10007377 of 28/01/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10007377 of 28/01/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL GENERATION PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8092666 of 07/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2433</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8092666 of 07/10/2008)
2) Investment advice (Notification 8092666 of 07/10/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8092666 of 07/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL INDEX (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 6ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018437/16 of 01/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4333</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0018437/16 of 01/03/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018437/16 of 01/03/2016)
3) Dealing on own account (Notification 0089265/17 of 14/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7gg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99058741 of 29/07/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>821</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 3032942 of 20/05/2003)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3032942 of 20/05/2003)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Services related to underwriting (Notification 99058741 of 29/07/1999)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 99058741 of 29/07/1999)
6) Execution of orders on behalf of clients (Notification 99058741 of 29/07/1999)
7) Portfolio management (Notification 99058741 of 29/07/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **CAPITAL MARKETS, O.C.P, A.S.**

Registered office: Ul.29. Augusta 36

City: 81109 - Bratislava

Country: Slovacchia

Notification of Registration: n. 12092947 of 27/11/2012

Registration no.: 3568

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12092947 of 27/11/2012)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12092947 of 27/11/2012)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12092947 of 27/11/2012)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12092947 of 27/11/2012)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 12092947 of 27/11/2012)

6) Placing of financial instruments without a firm commitment basis (Notification 12092947 of 27/11/2012)

7) Investment advice (Notification 12092947 of 27/11/2012)

8) Execution of orders on behalf of clients (Notification 12092947 of 27/11/2012)

9) Portfolio management (Notification 12092947 of 27/11/2012)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 12092947 of 27/11/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CAPITAL PLUS PARTNERS LIMITED

Registered office: New Liverpool House 15-17 Eldon Street

City: Ec2m 7ld - Londra

Country: Regno Unito

Notification of Registration: n. 0011474/16 of 09/02/2016

Registration no.: 4315

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0011474/16 of 09/02/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011474/16 of 09/02/2016)

3) Investment advice (Notification 0011474/16 of 09/02/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011474/16 of 09/02/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL STRATEGIES PARTNERS, A.V.SOCIEDAD ANONIMA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Paseo De La Castellana N. 178</td>
</tr>
<tr>
<td>City:</td>
<td>28046 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036998/14 of 06/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3956</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0036998/14 of 06/05/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0036998/14 of 06/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL SYSTEMATICS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Alkerden Road</td>
</tr>
<tr>
<td>City:</td>
<td>W4 2hp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9000023 of 02/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2501</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9000023 of 02/01/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9000023 of 02/01/2009)
3) Placing of financial instruments without a firm commitment basis (Notification 9000023 of 02/01/2009)
4) Investment advice (Notification 9000023 of 02/01/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9000023 of 02/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPITAL TRUST LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>49 Mount Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1y 5re - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>50</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPRICORN CAPITAL PARTNERS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Malta House 36-38 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j0dp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0097432/16 of 02/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4495</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0097432/16 of 02/11/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0097432/16 of 02/11/2016)
3) Investment advice (Notification 0097432/16 of 02/11/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**CAPSTAN CAPITAL PARTNERS LLP**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPSTAN CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10016282 of 26/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2792</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10016282 of 26/02/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10016282 of 26/02/2010)

3) Placing of financial instruments without a firm commitment basis (Notification 10016282 of 26/02/2010)

4) Investment advice (Notification 10016282 of 26/02/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10016282 of 26/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPSTONE ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>248 -250 Tottenham Court Road</td>
</tr>
<tr>
<td>City:</td>
<td>W1t 7qz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0379074/18 of 01/10/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4880</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 0379074/18 of 01/10/2018)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0398899/18 of 09/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAPSTONE INVESTMENT ADVISORS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 Great Winchester Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9076227 of 19/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2659</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9076227 of 19/08/2009)
2) Investment advice (Notification 9076227 of 19/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CARBON COMMUNICATIONS INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Chalcot Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nw1 8lh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7095635 of 25/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1870</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7095635 of 25/10/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7095635 of 25/10/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CARGILL FINANCIAL SERVICES EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Knowle Hill Park</td>
</tr>
<tr>
<td>City:</td>
<td>Kt11 2pd - Cobham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9084409 of 29/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2687</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0086601/13 of 04/11/2013)
2) Execution of orders on behalf of clients (Notification 9084409 of 29/09/2009)
3) Dealing on own account (Notification 9084409 of 29/09/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9084409 of 29/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CARLE &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Grove Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Se5 8sy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12035029 of 30/04/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3403</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12035029 of 30/04/2012)

2) Investment advice (Notification 12035029 of 30/04/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12035029 of 30/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CARLTON SQUARE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House 1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0223852/19 of 24/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5021</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0223852/19 of 24/04/2019)
2) Portfolio management (Notification 0223852/19 of 24/04/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0223852/19 of 24/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CARNE GLOBAL FINANCIAL SERVICES (EUROPA) UNIPESSOAL LDA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rua Ivens, 42, 1200</td>
</tr>
<tr>
<td>City:</td>
<td>227 - Lisbona</td>
</tr>
<tr>
<td>Country:</td>
<td>Portogallo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0556652/19 of 17/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5083</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0556652/19 of 17/09/2019)

2) Investment advice (Notification 0556652/19 of 17/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97027478 of 14/04/1997)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 97027478 of 14/04/1997)

3) Services related to underwriting (Notification 97027478 of 14/04/1997)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 97027478 of 14/04/1997)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 97027478 of 14/04/1997)

6) Placing of financial instruments without a firm commitment basis (Notification 97027478 of 14/04/1997)

7) Investment advice (Notification 97027478 of 14/04/1997)

8) Execution of orders on behalf of clients (Notification 97027478 of 14/04/1997)

9) Dealing on own account (Notification 97027478 of 14/04/1997)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 97027478 of 14/04/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CARVAL INVESTORS GB LLP

Registered office: 25 Great Pulteney Street

City: W1f 9lt - Londra

Country: Regno Unito

Notification of Registration: n. 0617093/19 of 09/10/2019

Registration no.: 5122

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0617093/19 of 09/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0617093/19 of 09/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CASTEEL CAPITAL LLP

Registered office: 38 Dover Street

City: W1s 4nl - Londra

Country: Regno Unito

Notification of Registration: n. 8064659 of 08/07/2008

Registration no.: 2346

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8064659 of 08/07/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8064659 of 08/07/2008)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 8064659 of 08/07/2008)

4) Investment advice (Notification 8064659 of 08/07/2008)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8064659 of 08/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CASTELAR CORPORATE FINANCE ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dronning Mauds Gate 1</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10015463 of 25/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2790</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10015463 of 25/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CASTLE HARBOUR SECURITIES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Eastbourne Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>W2 6lg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12083319 of 19/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3536</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0091042/17 of 19/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12083319 of 19/10/2012)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 12083319 of 19/10/2012)
4) Investment advice (Notification 12083319 of 19/10/2012)
5) Execution of orders on behalf of clients (Notification 12083319 of 19/10/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12083319 of 19/10/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CASTLE HILL ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Harcourt Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1H 4AD - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11003687 of 20/01/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3065</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11003687 of 20/01/2011)
2) Investment advice (Notification 11003687 of 20/01/2011)
3) Execution of orders on behalf of clients (Notification 11003687 of 20/01/2011)
4) Portfolio management (Notification 11003687 of 20/01/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11003687 of 20/01/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CASTLEFIELD ADVISORY PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45-49 Catherine Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sp1 2dh - Salisbury</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9085885 of 01/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2694</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9085885 of 01/10/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9085885 of 01/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CASTLEGREEN PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8023461 of 18/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2252</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8023461 of 18/03/2008)
2) Investment advice (Notification 8023461 of 18/03/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8023461 of 18/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CATALYSIS CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6081019 of 11/10/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1716</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6081019 of 11/10/2006)

2) Services related to underwriting (Notification 6081019 of 11/10/2006)

3) Investment advice (Notification 6081019 of 11/10/2006)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6081019 of 11/10/2006)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CATHEDRAL FINANCIAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Southernhay Gardens, Exeter</td>
</tr>
<tr>
<td>City:</td>
<td>Ex1 1nx - Devon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7100674 of 13/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2007</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7100674 of 13/11/2007)
2) Investment advice (Notification 7100674 of 13/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7100674 of 13/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CATTEGATT CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>124 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6ty - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11035238 of 22/04/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3129</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11035238 of 22/04/2011)

2) Investment advice (Notification 11035238 of 22/04/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Registry of EU Investment Firms: Without Branches

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CAVENHAM CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>86-90 Paul Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0104842/17 of 07/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4670</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0104842/17 of 07/09/2017)
2. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0104842/17 of 07/09/2017)
3. Investment advice (Notification 0104842/17 of 07/09/2017)
4. Execution of orders on behalf of clients (Notification 0104842/17 of 07/09/2017)
5. Portfolio management (Notification 0104842/17 of 07/09/2017)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 0104842/17 of 07/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CBA EUROPE LTD

Registered office: Senator House 85 Queen Victoria Street

City: Ec4v 4ha - Londra

Country: Regno Unito

Notification of Registration: n. 7010876 of 05/02/2007

Registration no.: 1761

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0136426/17 of 03/01/2018)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7010876 of 05/02/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 7010876 of 05/02/2007)
4) Investment advice (Notification 7010876 of 05/02/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7010876 of 05/02/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **CBH EUROPE LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>55 Old Broad Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2m 1rx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10100554 of 07/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3030</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10100554 of 07/12/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10100554 of 07/12/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10100554 of 07/12/2010)

4) Placing of financial instruments without a firm commitment basis (Notification 10100554 of 07/12/2010)

5) Investment advice (Notification 10100554 of 07/12/2010)

6) Execution of orders on behalf of clients (Notification 10100554 of 07/12/2010)

7) Portfolio management (Notification 10100554 of 07/12/2010)

8) Dealing on own account (Notification 10100554 of 07/12/2010)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 10100554 of 07/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CBOE CHI-X EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Lower Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 6af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6067355 of 07/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1689</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 6067355 of 07/08/2006)
2) Dealing on own account (Notification 6067355 of 07/08/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6067355 of 07/08/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0158185/19 of 25/03/2019)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CBRE CAPITAL ADVISORS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gustav Mahlerlaan 405</td>
</tr>
<tr>
<td>City:</td>
<td>1054 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11090536 of 09/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3294</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11090536 of 09/11/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11090536 of 09/11/2011)

3) Placing of financial instruments without a firm commitment basis (Notification 11090536 of 09/11/2011)

4) Investment advice (Notification 11090536 of 09/11/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11090536 of 09/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CBRE CAPITAL ADVISORS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bockenheimer Landstrasse 24</td>
</tr>
<tr>
<td>City:</td>
<td>60323 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0115340/19 of 01/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4974</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0115340/19 of 01/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CBRE INDIRECT INVESTMENT SERVICES LIMITED

Registered office: Henrietta Place

City: W1g 0nb - Londra

Country: Regno Unito

Notification of Registration: n. 3020649 of 01/04/2003

Registration no.: 1353

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3020649 of 01/04/2003)
2) Investment advice (Notification 3020649 of 01/04/2003)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3020649 of 01/04/2003)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)  

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CCBI METDIST GLOBAL COMMODITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>111 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n1ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038622/17 of 27/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4585</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0038622/17 of 27/03/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0038622/17 of 27/03/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0038622/17 of 27/03/2017)
4) Execution of orders on behalf of clients (Notification 0038622/17 of 27/03/2017)
5) Dealing on own account (Notification 0038622/17 of 27/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CDG GLOBAL (EU) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fraglinou Rousvelt 152, 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>3045 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105427/17 of 11/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4672</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0105427/17 of 11/09/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0105427/17 of 11/09/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0105427/17 of 11/09/2017)

4) Execution of orders on behalf of clients (Notification 0105427/17 of 11/09/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105427/17 of 11/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: CD&R LLP

Registered office: 33 King Street

City: Sw1y 6rj - Londra

Country: Regno Unito

Notification of Registration: n. 13005343 of 22/01/2013

Registration no.: 3605

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13005343 of 22/01/2013)
2) Investment advice (Notification 13005343 of 22/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13005343 of 22/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CEBILE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1 j6eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0017794/15 of 11/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4165</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0017794/15 of 11/03/2015)

2) Investment advice (Notification 0017794/15 of 11/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CECP ADVISORS LLP

Registered office: 57 Berkeley Square

City: W1j 6er - Londra

Country: Regno Unito

Notification of Registration: n. 10035324 of 21/04/2010

Registration no.: 2835

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10035324 of 21/04/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10035324 of 21/04/2010)

3) Placing of financial instruments without a firm commitment basis (Notification 10035324 of 21/04/2010)

4) Investment advice (Notification 10035324 of 21/04/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10035324 of 21/04/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CEDAR WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Victoria House, Victoria Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Cm1 1jr - Chelmsford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0032183/15 of 27/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4155</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0032183/15 of 27/04/2015)
2) Investment advice (Notification 0032183/15 of 27/04/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0032183/15 of 27/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CELF ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10101152 of 10/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3636</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0072762/13 of 06/09/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10101152 of 10/12/2010)
3) Investment advice (Notification 10101152 of 10/12/2010)
4) Execution of orders on behalf of clients (Notification 10101152 of 10/12/2010)
5) Portfolio management (Notification 10101152 of 10/12/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10101152 of 10/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CENTERVIEW PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Norwich Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a 1bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9083027 of 22/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2675</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9083027 of 22/09/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9083027 of 22/09/2009)

3) Investment advice (Notification 9083027 of 22/09/2009)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9083027 of 22/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CENTRIS CAPITAL AG

Registered office: Seilergasse 6/5

City: 1010 - Vienna

Country: Austria

Notification of Registration: n. 12033341 of 26/04/2012

Registration no.: 3411

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12033341 of 26/04/2012)
2) Portfolio management (Notification 12033341 of 26/04/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12033341 of 26/04/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
| **Register of EU Investment Firms: Without Branches**
| **(Date 10/01/2020)** |

| Investment firm: | CENTRUS ADVISORS LTD |
| Registered office: | 21, Clanwilliam Square Grand Canal Quay |
| City: | D02P860 - Dublino |
| Country: | Irlanda |
| Notification of Registration: | n. 0826855/19 of 20/12/2019 |
| Registration no.: | 5144 |

**Services Provided in Italy**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0826855/19 of 20/12/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0826855/19 of 20/12/2019)

3) Investment advice (Notification 0826855/19 of 20/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
CENTRUS FINANCIAL ADVISORS LTD

Registered office: Mermaid House 2 Puddle Dock,
City: Ec4v 3db - Londra
Country: Regno Unito
Notification of Registration: n. 0106947/16 of 02/12/2016
Registration no.: 4516

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0106947/16 of 02/12/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0106947/16 of 02/12/2016)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0106947/16 of 02/12/2016)
4) Investment advice (Notification 0106947/16 of 02/12/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0106947/16 of 02/12/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CENTURION PORTFOLIO MANAGERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Glasshouse Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8073986 of 04/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2383</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8073986 of 04/08/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8073986 of 04/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CERBERUS EUROPEAN CAPITAL ADVISORS, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0841995/19 of 27/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5149</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0841995/19 of 27/12/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0841995/19 of 27/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CERES PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Fitzhardinge Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6ef - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12080659 of 10/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3524</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12080659 of 10/10/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12080659 of 10/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CESCO INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Kingwell Road</td>
</tr>
<tr>
<td>City:</td>
<td>En4 0hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12015946 of 01/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3370</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12015946 of 01/03/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12015946 of 01/03/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CF PARTNERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Hammersmith Road</td>
</tr>
<tr>
<td>City:</td>
<td>W148ud - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9089749 of 21/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2705</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021914/14 of 20/03/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0021914/14 of 20/03/2014)
3) Investment advice (Notification 9089749 of 21/10/2009)
4) Execution of orders on behalf of clients (Notification 9089749 of 21/10/2009)
5) Portfolio management (Notification 9089749 of 21/10/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9089749 of 21/10/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CFE (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43/44 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4jj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012519/14 of 17/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3906</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0012519/14 of 17/02/2014)
2) Investment advice (Notification 0012519/14 of 17/02/2014)
3) Portfolio management (Notification 0012519/14 of 17/02/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012519/14 of 17/02/2014)
5) Execution of orders on behalf of clients (Notification 0617570/19 of 10/10/2019)
6) Dealing on own account (Notification 0617570/19 of 10/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CFH CLEARING LIMITED

Registered office: Fourth Floor 8 Lloyd’S Avenue

City: Ec3n 3el - Londra

Country: Regno Unito

Notification of Registration: n. 8087870 of 24/09/2008

Registration no.: 2423

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0091773/17 of 21/07/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8087870 of 24/09/2008)
3) Investment advice (Notification 8087870 of 24/09/2008)
4) Execution of orders on behalf of clients (Notification 8087870 of 24/09/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8087870 of 24/09/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CFRA UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Lime Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 7at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0131517/17 of 29/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4720</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0131517/17 of 29/11/2017)  
2) Investment advice (Notification 0131517/17 of 29/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm</th>
<th>CG WEALTH PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office</td>
<td>55 Baker Street</td>
</tr>
<tr>
<td>City</td>
<td>W1u 7eu - Londra</td>
</tr>
<tr>
<td>Country</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration</td>
<td>n. 0071852/13 of 30/08/2013</td>
</tr>
<tr>
<td>Registration no.</td>
<td>3796</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0071852/13 of 30/08/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071852/13 of 30/08/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0071852/13 of 30/08/2013)

4) Investment advice (Notification 0071852/13 of 30/08/2013)

5) Execution of orders on behalf of clients (Notification 0071852/13 of 30/08/2013)

6) Portfolio management (Notification 0071852/13 of 30/08/2013)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071852/13 of 30/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CGS-CIMB SECURITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Knightsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7yb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>126</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CHALLENGER MANAGEMENT SERVICES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Heron Tower, 110 Bishopsgate</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec2n 4ay - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 10058195 of 28/06/2010</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2892</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10058195 of 28/06/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10058195 of 28/06/2010)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10058195 of 28/06/2010)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 10058195 of 28/06/2010)

5) Investment advice (Notification 10058195 of 28/06/2010)

6) Execution of orders on behalf of clients (Notification 10058195 of 28/06/2010)

7) Portfolio management (Notification 10058195 of 28/06/2010)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10058195 of 28/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CHAMBERLYNS(LEICESTERSHIRE)LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Lasyard House Underhill Street Bridnorth</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Wv16 4bb - Shropshire</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 7096765 of 01/11/2007</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1928</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7096765 of 01/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096765 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHARACTER FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2-6 Sydenham Road, Croydon</td>
</tr>
<tr>
<td>City:</td>
<td>Cro 9xe - Surrey</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8012928 of 12/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2211</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8012928 of 12/02/2008)
2) Investment advice (Notification 8012928 of 12/02/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8012928 of 12/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHARCOT CAPITAL (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Clarges Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 7ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10031421 of 08/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2828</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10031421 of 08/04/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10031421 of 08/04/2010)
3) Investment advice (Notification 10031421 of 08/04/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10031421 of 08/04/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CHARLES SCHWAB UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor 20 St. Dunstan’S Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 8hl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074659/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4451</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074659/16 of 11/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8015598 of 21/02/2008)

3) 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 (Notification 96000620 of 03/01/1996)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

5) Services related to underwriting (Notification 96000620 of 03/01/1996)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)

8) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

9) Investment advice (Notification 96000620 of 03/01/1996)

10) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

11) Portfolio management (Notification 96000620 of 03/01/1996)

12) Dealing on own account (Notification 96000620 of 03/01/1996)

13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHARME CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3th St James’ Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y6hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036367/16 of 22/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4364</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0036367/16 of 22/04/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0036367/16 of 22/04/2016)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0036367/16 of 22/04/2016)
4) Investment advice (Notification 0036367/16 of 22/04/2016)
5) Execution of orders on behalf of clients (Notification 0036367/16 of 22/04/2016)
6) Portfolio management (Notification 0036367/16 of 22/04/2016)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0036367/16 of 22/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHASE BUCHANAN LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Chrysanthou Mylona 1, Panayides Court,</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038099/16 of 28/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4370</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0038099/16 of 28/04/2016)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0038099/16 of 28/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHATHAM FINANCIAL EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2nd Floor Titchfield House 69/85 Tabernacle Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4rr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1085619 of 14/11/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1197</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 1085619 of 14/11/2001)
2) Investment advice (Notification 1085619 of 14/11/2001)
3) Execution of orders on behalf of clients (Notification 1085619 of 14/11/2001)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1085619 of 14/11/2001)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHATHAM FINANCIAL EUROPE SP. Z O.O.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ul. Kotlarska 11</td>
</tr>
<tr>
<td>City:</td>
<td>31-539 - Cracovia</td>
</tr>
<tr>
<td>Country:</td>
<td>Polonia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0234009/19 of 30/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5027</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0234009/19 of 30/04/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0234009/19 of 30/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHECKRISK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Miles’ S Buildings</td>
</tr>
<tr>
<td>City:</td>
<td>Ba1 2qs - Bath</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9087463 of 12/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2695</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9087463 of 12/10/2009)
2) Investment advice (Notification 9087463 of 12/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHEFINVEST INTERNATIONAL AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Staedtle 28</td>
</tr>
<tr>
<td>City:</td>
<td>FL 9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049683/15 of 19/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4194</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0049683/15 of 19/06/2015)
2) Investment advice (Notification 0049683/15 of 19/06/2015)
3) Execution of orders on behalf of clients (Notification 0049683/15 of 19/06/2015)
4) Portfolio management (Notification 0049683/15 of 19/06/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049683/15 of 19/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CHENAVARI CREDIT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>80 Victoria Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>SW1E 5JL - LONDON</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>REGNO UNITO</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 8076855 of 12/08/2008</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2389</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 8076855 of 12/08/2008)
2) Investment advice (Notification 8076855 of 12/08/2008)
3) Execution of orders on behalf of clients (Notification 8076855 of 12/08/2008)
4) Portfolio management (Notification 8076855 of 12/08/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8076855 of 12/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHESTERTON HOUSE FINANCIAL PLANNING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Rectory Place Leicestershire</td>
</tr>
<tr>
<td>City:</td>
<td>Le11 1uw - Loughborough</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099153 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1978</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099153 of 07/11/2007)
2) Services related to underwriting (Notification 7099153 of 07/11/2007)
3) Investment advice (Notification 7099153 of 07/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099153 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11007851 of 02/02/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11007851 of 02/02/2011)
3) Portfolio management (Notification 11007851 of 02/02/2011)
4) 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 (Notification 2041024 of 07/06/2002)
5) Execution of orders on behalf of clients (Notification 2041024 of 07/06/2002)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 9029014 of 31/03/2009)
7) Dealing on own account (Notification 97086091 of 17/12/1997)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 97086091 of 17/12/1997)
9) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 99033200 of 29/04/1999)
10) Services related to underwriting (Notification 99033200 of 29/04/1999)
11) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 99033200 of 29/04/1999)
12) Placing of financial instruments without a firm commitment basis (Notification 99033200 of 29/04/1999)
13) Investment advice (Notification 99033200 of 29/04/1999)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHINA INTERNATIONAL CAPITAL CORPORATION (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10017151 of 02/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2800</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0624244/19 of 14/10/2019)
2) Dealing on own account (Notification 0624244/19 of 14/10/2019)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10017151 of 02/03/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10017151 of 02/03/2010)
5) Investment advice (Notification 10017151 of 02/03/2010)
6) Execution of orders on behalf of clients (Notification 10017151 of 02/03/2010)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10017151 of 02/03/2010)
8) Services related to underwriting (Notification 11096756 of 05/12/2011)
9) Placing of financial instruments without a firm commitment basis (Notification 11096756 of 05/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHINA MERCHANTS SECURITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10-12 Alie Street</td>
</tr>
<tr>
<td>City:</td>
<td>E18de - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0098815/14 of 29/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4079</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0098815/14 of 29/12/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0098815/14 of 29/12/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0098815/14 of 29/12/2014)
4) Investment advice (Notification 0098815/14 of 29/12/2014)
5) Execution of orders on behalf of clients (Notification 0098815/14 of 29/12/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098815/14 of 29/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CHINA POST GLOBAL (UK) LIMITED

Registered office: 2nd Floor, 75 King William Street

City: Ec4n 7be - Londra

Country: Regno Unito

Notification of Registration: n. 0103329/17 of 01/09/2017

Registration no.: 4665

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0103329/17 of 01/09/2017)
2) Investment advice (Notification 0103329/17 of 01/09/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0103329/17 of 01/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CHRISTCHURCH INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor 42 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6el - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7094196 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1898</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7094196 of 01/11/2007)
2) Investment advice (Notification 7094196 of 01/11/2007)
3) Execution of orders on behalf of clients (Notification 7094196 of 01/11/2007)
4) Portfolio management (Notification 7094196 of 01/11/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094196 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CHRISTOFFERSON ROBB & COMPANY (UK) LLP

Registered office: 28 Queen Anne'S Gate

City: Sw1h 9bu - Londra

Country: Regno Unito

Notification of Registration: n. 6078879 of 04/10/2006

Registration no.: 1710

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6078879 of 04/10/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6078879 of 04/10/2006)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10054338 of 15/06/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10054338 of 15/06/2010)

3) Placing of financial instruments without a firm commitment basis (Notification 10054338 of 15/06/2010)

4) Investment advice (Notification 10054338 of 15/06/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10054338 of 15/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CIRDAN CAPITAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Old Park Lane London</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 1qr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074655/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4449</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0074655/16 of 11/08/2016)
2) Services related to underwriting (Notification 0074655/16 of 11/08/2016)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0074655/16 of 11/08/2016)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0074655/16 of 11/08/2016)
5) Investment advice (Notification 0074655/16 of 11/08/2016)
6) Execution of orders on behalf of clients (Notification 0074655/16 of 11/08/2016)
7) Portfolio management (Notification 0074655/16 of 11/08/2016)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074655/16 of 11/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CITADEL EUROPE LLP

Registered office: 120 London Wall

City: Ec2y 5et - Londra

Country: Regno Unito

Notification of Registration: n. 9046009 of 15/05/2009

Registration no.: 2594

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9046009 of 15/05/2009)
2) Investment advice (Notification 9046009 of 15/05/2009)
3) Execution of orders on behalf of clients (Notification 9046009 of 15/05/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9046009 of 15/05/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITADEL SECURITIES (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6042979 of 16/05/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1651</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 6042979 of 16/05/2006)
2) Dealing on own account (Notification 6042979 of 16/05/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITADEL SECURITIES GCS (IRELAND) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Grand Canal Square, 5th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0485331/18 of 22/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4898</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0060691/19 of 05/02/2019)
2) Dealing on own account (Notification 0485331/18 of 22/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0131397/18 of 30/04/2018)
2) 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 (Notification 0493227/18 of 28/11/2018)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0493227/18 of 28/11/2018)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0493227/18 of 28/11/2018)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0493227/18 of 28/11/2018)
6) Services related to underwriting (Notification 0493227/18 of 28/11/2018)
7) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0493227/18 of 28/11/2018)
8) Foreign exchange services where these are connected to the provision of investment services (Notification 0493227/18 of 28/11/2018)
9) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0493227/18 of 28/11/2018)
10) Placing of financial instruments without a firm commitment basis (Notification 0493227/18 of 28/11/2018)
11) Investment advice (Notification 0493227/18 of 28/11/2018)
12) Execution of orders on behalf of clients (Notification 0493227/18 of 28/11/2018)
13) Portfolio management (Notification 0493227/18 of 28/11/2018)
14) Dealing on own account (Notification 0493227/18 of 28/11/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm</th>
<th>CITIGROUP GLOBAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Citigroup Centre Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>277</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 15207 of 02/11/2005)
2) Execution of orders on behalf of clients (Notification 15207 of 02/11/2005)
3) Reception and transmission of orders (Notification 15207 of 02/11/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7093061 of 01/11/2007)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7093061 of 01/11/2007)
6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
7) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
8) Services related to underwriting (Notification 96000620 of 03/01/1996)
9) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
10) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
11) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
12) Investment advice (Notification 96000620 of 03/01/1996)
13) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
14) Dealing on own account (Notification 96000620 of 03/01/1996)
15) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
16) 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 (Notification 96059817 of 15/07/1996)
17) Portfolio management (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CITY & CONTINENTAL LTD

Registered office: Cheyne Housecrown Court 62-63 Cheapside

City: Ec2v 6ax - Londra

Country: Regno Unito

Notification of Registration: n. 0591900/19 of 01/10/2019

Registration no.: 5085

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0591900/19 of 01/10/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0591900/19 of 01/10/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0591900/19 of 01/10/2019)
4) Investment advice (Notification 0591900/19 of 01/10/2019)
5) Execution of orders on behalf of clients (Notification 0591900/19 of 01/10/2019)
6) Dealing on own account (Notification 0591900/19 of 01/10/2019)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0591900/19 of 01/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITY ASSET MANAGEMENT PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>City Cloister, 196 Old Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1v 9fr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8015601 of 21/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2227</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8015601 of 21/02/2008)
2) Execution of orders on behalf of clients (Notification 8015601 of 21/02/2008)
3) Portfolio management (Notification 8015601 of 21/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

### (Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITY CAPITAL CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1J 6BD - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012926/16 of 15/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4323</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012926/16 of 15/02/2016)
2. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0012926/16 of 15/02/2016)
3. Investment advice (Notification 0012926/16 of 15/02/2016)
4. Execution of orders on behalf of clients (Notification 0012926/16 of 15/02/2016)
5. Portfolio management (Notification 0012926/16 of 15/02/2016)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 0012926/16 of 15/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0011653/15 of 18/02/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0011653/15 of 18/02/2015)

3) Execution of orders on behalf of clients (Notification 4103732 of 15/12/2004)

4) Dealing on own account (Notification 4103732 of 15/12/2004)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 4103732 of 15/12/2004)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITY EQUITIES LIMITED - IN ADMINISTRATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22-25 Finsbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 1dx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2011157 of 19/02/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1236</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2011157 of 19/02/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2011157 of 19/02/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CITY OF LONDON MARKETS LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>10 Philpot Lane</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec3m 8aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086004/13 of 30/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3839</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086004/13 of 30/10/2013)

2) Investment advice (Notification 0086004/13 of 30/10/2013)

3) Execution of orders on behalf of clients (Notification 0086004/13 of 30/10/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086004/13 of 30/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CITYPOINT TRADING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0073220/15 of 21/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4353</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0073220/15 of 21/09/2015)
2) Execution of orders on behalf of clients (Notification 0073220/15 of 21/09/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073220/15 of 21/09/2015)
4) Dealing on own account (Notification 0089728/17 of 17/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CLAIRVILLE YORK LIMITED

Registered office: 22-34 High Street Cheam

City: Sm3 8rl - Sutton

Country: Regno Unito

Notification of Registration: n. 0062636/13 of 23/07/2013

Registration no.: 3755

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0062636/13 of 23/07/2013)
2) Investment advice (Notification 0062636/13 of 23/07/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0062636/13 of 23/07/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLARGES CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Clarges Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 7ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8058269 of 18/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2331</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8058269 of 18/06/2008)
2) Investment advice (Notification 8058269 of 18/06/2008)
3) Execution of orders on behalf of clients (Notification 8058269 of 18/06/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8058269 of 18/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLARION PARTNERS EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Heddon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 4bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13016983 of 28/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3647</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 13016983 of 28/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLARKSONS PLATOU FUTURES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Lower Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 6he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8045856 of 15/05/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2310</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8045856 of 15/05/2008)
2) Execution of orders on behalf of clients (Notification 8045856 of 15/05/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8045856 of 15/05/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CLARMOND WEALTH LIMITED

Registered office: 1 Holbein Place

City: Sw1w 8ns - Londra

Country: Regno Unito

Notification of Registration: n. 0044627/14 of 28/05/2014

Registration no.: 3967

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0044627/14 of 28/05/2014)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0044627/14 of 28/05/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0044627/14 of 28/05/2014)

4) Investment advice (Notification 0044627/14 of 28/05/2014)

5) Execution of orders on behalf of clients (Notification 0044627/14 of 28/05/2014)

6) Portfolio management (Notification 0044627/14 of 28/05/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0044627/14 of 28/05/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLEAR CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 New Bridge Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 6bw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0138500/18 of 04/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4819</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0138500/18 of 04/05/2018)
2) Investment advice (Notification 0138500/18 of 04/05/2018)
3) Execution of orders on behalf of clients (Notification 0138500/18 of 04/05/2018)
4) Portfolio management (Notification 0138500/18 of 04/05/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0138500/18 of 04/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLEAR CAPITAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0073058/17 of 31/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4612</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0073058/17 of 31/05/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0073058/17 of 31/05/2017)
3) Placing of financial instruments without a firm commitment basis (Notification 0073058/17 of 31/05/2017)
4) Investment advice (Notification 0073058/17 of 31/05/2017)
5) Execution of orders on behalf of clients (Notification 0073058/17 of 31/05/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073058/17 of 31/05/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLEAR MARKETS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Liverpool Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7qp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 61529 of 08/08/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1264</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 61529 of 08/08/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLEARBELL FUND MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Harewood Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8042140 of 06/05/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2295</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8042140 of 06/05/2008)
2) Execution of orders on behalf of clients (Notification 8042140 of 06/05/2008)
3) Portfolio management (Notification 8042140 of 06/05/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8042140 of 06/05/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLEAVES SERCURITIES AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bergehus Froyas Gate 15</td>
</tr>
<tr>
<td>City:</td>
<td>0273 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011385/14 of 11/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3904</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0011385/14 of 11/02/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011385/14 of 11/02/2014)

3) Investment advice (Notification 0011385/14 of 11/02/2014)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011385/14 of 11/02/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLICKOPTIONS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17, Cours Valmy</td>
</tr>
<tr>
<td>City:</td>
<td>92987 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1044593 of 05/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1132</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 1044593 of 05/06/2001)
2) Dealing on own account (Notification 1044593 of 05/06/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1044593 of 05/06/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLIFTON COMPLIANCE SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Fore Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ex108aq - Devon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099819 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1987</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099819 of 09/11/2007)
2) Investment advice (Notification 7099819 of 09/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099819 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CLIMATE MUNDIAL LIMITED

Registered office: Level 10 Citypoint 1 Ropemaker St

City: Ec2y 9ht - Londra

Country: Regno Unito

Notification of Registration: n. 0002950/17 of 11/01/2017

Registration no.: 4539

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0002950/17 of 11/01/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0002950/17 of 11/01/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002950/17 of 11/01/2017)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0002950/17 of 11/01/2017)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0002950/17 of 11/01/2017)

6) Placing of financial instruments without a firm commitment basis (Notification 0002950/17 of 11/01/2017)

7) Investment advice (Notification 0002950/17 of 11/01/2017)

8) Execution of orders on behalf of clients (Notification 0002950/17 of 11/01/2017)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002950/17 of 11/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CLOSE ASSET MANAGEMENT LIMITED

Registered office: 10 Exchange Square - Primrose Street

City: Ec2a 2by - Londra

Country: Regno Unito

Notification of Registration: n. 96056590 of 01/07/1996

Registration no.: 881

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96056590 of 01/07/1996)
3) Services related to underwriting (Notification 96056590 of 01/07/1996)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96056590 of 01/07/1996)
6) Placing of financial instruments without a firm commitment basis (Notification 96056590 of 01/07/1996)
7) Investment advice (Notification 96056590 of 01/07/1996)
8) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
9) Portfolio management (Notification 96056590 of 01/07/1996)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**Investment firm:** CLSA EUROPE BV  
**Registered office:** Strawinskylaan 729  
**City:** 1077xx - Amsterdam  
**Country:** Paesi Bassi  
**Notification of Registration:** n. 0186557/19 of 05/04/2019  
**Registration no.:** 5011

#### Services Provided in Italy

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0186557/19 of 05/04/2019)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0186557/19 of 05/04/2019)
3. Services related to underwriting (Notification 0186557/19 of 05/04/2019)
4. Execution of orders on behalf of clients (Notification 0186557/19 of 05/04/2019)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 0186557/19 of 05/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLSA (UK)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>82</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Services related to underwriting (Notification 96000620 of 03/01/1996)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
5) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
6) Investment advice (Notification 96000620 of 03/01/1996)
7) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
8) Dealing on own account (Notification 96000620 of 03/01/1996)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLUBB CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor, 17 Waterloo Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>79</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
3) Services related to underwriting (Notification 96000620 of 03/01/1996)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
5) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
6) Investment advice (Notification 96000620 of 03/01/1996)
7) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
8) Portfolio management (Notification 96000620 of 03/01/1996)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CLUNY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3/4 Devonshire Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 5dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13019425 of 11/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3653</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13019425 of 11/03/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13019425 of 11/03/2013)

3) Investment advice (Notification 13019425 of 11/03/2013)

4) Portfolio management (Notification 13019425 of 11/03/2013)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13019425 of 11/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CM - EQUITY AG

Registered office: Kaufingerstrasse 20

City: 80331 - Monaco

Country: Germania

Notification of Registration: n. 0129074/18 of 27/04/2018

Registration no.: 4815

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0129074/18 of 27/04/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0129074/18 of 27/04/2018)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0129074/18 of 27/04/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0129074/18 of 27/04/2018)

5) Placing of financial instruments without a firm commitment basis (Notification 0129074/18 of 27/04/2018)

6) Investment advice (Notification 0129074/18 of 27/04/2018)

7) Execution of orders on behalf of clients (Notification 0129074/18 of 27/04/2018)

8) Portfolio management (Notification 0129074/18 of 27/04/2018)

9) Dealing on own account (Notification 0129074/18 of 27/04/2018)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0129074/18 of 27/04/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CMC MARKETS GERMANY GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neue Mainzer Str. 46-50</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0594323/19 of 02/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5091</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0594323/19 of 02/10/2019)
2) Dealing on own account (Notification 0594323/19 of 02/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CMC MARKETS UK PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>133 Houndsditch</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4078898 of 03/09/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1470</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 11084604 of 14/10/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11084604 of 14/10/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4078898 of 03/09/2004)
4) Dealing on own account (Notification 4078898 of 03/09/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CMC SPREADBET PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>133 Houndsditch</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a7bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>74</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Dealing on own account (Notification 7107490 of 06/12/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CME AMSTERDAM B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Nieuwezijds Voorburgwal 104</td>
</tr>
<tr>
<td>City:</td>
<td>1012sg - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0155842/19 of 22/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4981</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0155842/19 of 22/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CME INVESTMENT FIRM B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Nieuwezijds Voorburgwal 104</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Sg - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0155837/19 of 22/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4980</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0155837/19 of 22/03/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0155837/19 of 22/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CME MARKETING EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 5sb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5050851 of 19/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1568</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5050851 of 19/07/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COACTORII FINANCE AD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Kozloduj Street Office 5</td>
</tr>
<tr>
<td>City:</td>
<td>4000 - Plovdiv</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgária</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0815575/19 of 17/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5142</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0815575/19 of 17/12/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0815575/19 of 17/12/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CODE ADVISORS LIMITED

Registered office: 5 Golden Square

City: W1f 9bs - Londra

Country: Regno Unito

Notification of Registration: n. 13043139 of 17/05/2013

Registration no.: 3707

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13043139 of 17/05/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13043139 of 17/05/2013)

3) Investment advice (Notification 13043139 of 17/05/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CODEX CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>49 Upper Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 2b - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0135778/17 of 13/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4724</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0135778/17 of 13/12/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0135778/17 of 13/12/2017)
3) Services related to underwriting (Notification 0135778/17 of 13/12/2017)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0135778/17 of 13/12/2017)
5) Investment advice (Notification 0135778/17 of 13/12/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0135778/17 of 13/12/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0538054/19 of 10/09/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0538054/19 of 10/09/2019)

3) Investment advice (Notification 0538054/19 of 10/09/2019)

4) Execution of orders on behalf of clients (Notification 0538054/19 of 10/09/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0538054/19 of 10/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COGRESS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 210 50 Eastcastle Street,</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 8ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074651/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4448</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0074651/16 of 11/08/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074651/16 of 11/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COHEN &amp; COMPANY FINANCIAL (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Molesworth Street</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0186586/19 of 05/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5013</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0186586/19 of 05/04/2019)
2) Investment advice (Notification 0186586/19 of 05/04/2019)
3) Execution of orders on behalf of clients (Notification 0186586/19 of 05/04/2019)
4) Portfolio management (Notification 0186586/19 of 05/04/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0186586/19 of 05/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COHEN &amp; COMPANY FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Aldford Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 2af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10001640 of 12/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2746</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10001640 of 12/01/2010)
2) Execution of orders on behalf of clients (Notification 10001640 of 12/01/2010)
3) Portfolio management (Notification 10001640 of 12/01/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10001640 of 12/01/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: COLIN&CIE. LUXEMBOURG S.A.

Registered office: 5 Heienhaff

City: L1736 - Senningerberg

Country: Lussemburgo

Notification of Registration: n. 0017344/15 of 09/03/2015

Registration no.: 4126

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0017344/15 of 09/03/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0017344/15 of 09/03/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0017344/15 of 09/03/2015)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0017344/15 of 09/03/2015)

5) Investment advice (Notification 0017344/15 of 09/03/2015)

6) Execution of orders on behalf of clients (Notification 0017344/15 of 09/03/2015)

7) Portfolio management (Notification 0017344/15 of 09/03/2015)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017344/15 of 09/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLLER CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>116 Park Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k6af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8003415 of 15/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2171</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8003415 of 15/01/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8003415 of 15/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: COLLIERS CAPITAL HOLDINGS LIMITED

Registered office: 50 George Street

City: W1a 7ga - Londra

Country: Regno Unito

Notification of Registration: n. 13007088 of 28/01/2013

Registration no.: 3613

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0053626/15 of 03/07/2015)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0053626/15 of 03/07/2015)
3) Investment advice (Notification 13007088 of 28/01/2013)
4) Execution of orders on behalf of clients (Notification 13007088 of 28/01/2013)
5) Portfolio management (Notification 13007088 of 28/01/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13007088 of 28/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLLINS DALE CAPITAL PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>146 Fleet Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a 2bu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0258943/18 of 16/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4854</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0258943/18 of 16/07/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0258943/18 of 16/07/2018)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0258943/18 of 16/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLLINS SARRI STATHAM INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Royal Mint Court</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 4hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9003760 of 15/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2508</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9003760 of 15/01/2009)
2) Execution of orders on behalf of clients (Notification 9003760 of 15/01/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9003760 of 15/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLMEX PRO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Tzon Kennenty Kanika Enaerios Iris House</td>
</tr>
<tr>
<td>City:</td>
<td>D3106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021221 of 23/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3115</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11021221 of 23/03/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11021221 of 23/03/2011)
3) Execution of orders on behalf of clients (Notification 11021221 of 23/03/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11021221 of 23/03/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

---

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLUMNNA CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13011470 of 11/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3634</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13011470 of 11/02/2013)
2) Investment advice (Notification 13011470 of 11/02/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13011470 of 11/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COLVILLE PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0041884/15 of 25/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4170</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0041884/15 of 25/05/2015)
2) Investment advice (Notification 0041884/15 of 25/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COMGEST ASSET MANAGEMENT INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>46 San Stephens Green</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101617/17 of 24/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4660</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0101617/17 of 24/08/2017)
2. Portfolio management (Notification 0101617/17 of 24/08/2017)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0101617/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** COMMODITIES TRADING CORPORATION LIMITED

**Registered office:** Interpark House 3rd Floor 7 Down Street

**City:** W1j 7aj - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 0078096/17 of 14/06/2017

**Registration no.:** 4616

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0078096/17 of 14/06/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078096/17 of 14/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COMPAGNIE FINANCIERE &amp; BOURSIERE LUXEMBOURGEOISE S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16, Rue D’ Epernay</td>
</tr>
<tr>
<td>City:</td>
<td>1490 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5007490 of 04/02/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1512</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5007490 of 04/02/2005)
2) Investment advice (Notification 5007490 of 04/02/2005)
3) Execution of orders on behalf of clients (Notification 5007490 of 04/02/2005)
4) Portfolio management (Notification 5007490 of 04/02/2005)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 5007490 of 04/02/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COMPAGNIE FINANCIERE JACQUES COEUR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 Boulevard Montmartre</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021222 of 23/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3117</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11021222 of 23/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COMPASS ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor 4 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3013617 of 03/03/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1345</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3013617 of 03/03/2003)

2) Investment advice (Notification 3013617 of 03/03/2003)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3013617 of 03/03/2003)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COMPUTERSHARE INVESTOR SERVICES (IRELAND) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lake Drive Citywst Business Campus Dublin 24</td>
</tr>
<tr>
<td>City:</td>
<td>D24ak82 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0541634/18 of 21/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4920</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0541634/18 of 21/12/2018)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0541634/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: COMPUTERSHARE INVESTOR SERVICES PLC

Registered office: The Pavilions Bridgewater Road

City: Bs99 7nh - Bristol

Country: Regno Unito

Notification of Registration: n. 3025630 of 23/04/2003

Registration no.: 1363

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 3025630 of 23/04/2003)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 3025630 of 23/04/2003)

3) Execution of orders on behalf of clients (Notification 3025630 of 23/04/2003)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 3025630 of 23/04/2003)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONCORDE INVESTMENTS (CYPRUS) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4, Pavlou Nirvana Street</td>
</tr>
<tr>
<td>City:</td>
<td>3021 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012908/14 of 18/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3907</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0012908/14 of 18/02/2014)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0012908/14 of 18/02/2014)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0012908/14 of 18/02/2014)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012908/14 of 18/02/2014)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0012908/14 of 18/02/2014)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0012908/14 of 18/02/2014)

7) Execution of orders on behalf of clients (Notification 0012908/14 of 18/02/2014)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012908/14 of 18/02/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONEXIM ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>97 Haddington Road</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin4 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0319056/18 of 22/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4864</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0319056/18 of 22/08/2018)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0319056/18 of 22/08/2018)
3) Investment advice (Notification 0319056/18 of 22/08/2018)
4) Portfolio management (Notification 0319056/18 of 22/08/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0319056/18 of 22/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONNAUGHT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070040/16 of 28/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4432</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0070040/16 of 28/07/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070040/16 of 28/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CONNECTED CAPITAL LLP

Registered office: 43 Berkeley Square

City: W1j5fj - Londra

Country: Regno Unito

Notification of Registration: n. 0007268/18 of 17/01/2018

Registration no.: 4759

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0007268/18 of 17/01/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0007268/18 of 17/01/2018)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0007268/18 of 17/01/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0007268/18 of 17/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CONNING ASSET MANAGEMENT LIMITED

Registered office: 55 King William Street

City: Ec4r 9ad - Londra

Country: Regno Unito

Notification of Registration: n. 10102674 of 17/12/2010

Registration no.: 3040

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10102674 of 17/12/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10102674 of 17/12/2010)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10102674 of 17/12/2010)

4) Investment advice (Notification 10102674 of 17/12/2010)

5) Execution of orders on behalf of clients (Notification 10102674 of 17/12/2010)

6) Portfolio management (Notification 10102674 of 17/12/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10102674 of 17/12/2010)

Please make reference to the Supervisory home Authority’s website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONOTOXIA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Chrysoroiatissis,</td>
</tr>
<tr>
<td>City:</td>
<td>3032 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0127021/17 of 15/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4710</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0127021/17 of 15/11/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0127021/17 of 15/11/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0127021/17 of 15/11/2017)

4) Execution of orders on behalf of clients (Notification 0127021/17 of 15/11/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0127021/17 of 15/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CONSEILS EN FINANCES LIMITED
Licence Suspended Voluntarily

Registered office: 11 Ghar ld .Dud Street

City: 1570 - Sliema

Country: Malta

Notification of Registration: n. 0087755/14 of 07/11/2014

Registration no.: 4056

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments
(Notification 0087755/14 of 07/11/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CONSENSUS PARTNER (LIECHTENSTEIN) ANSTALT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Neugasse 17</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Liechtenstein</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 13025106 of 28/03/2013</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3675</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13025106 of 28/03/2013)
2) Investment advice (Notification 13025106 of 28/03/2013)
3) Portfolio management (Notification 13025106 of 28/03/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13025106 of 28/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>CONSERO CAPITAL LLP</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>222 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5tr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12009881 of 09/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3355</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009881 of 09/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONTINENTAL CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>A M P House Dingwall Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cr02lx - Croydon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060765/19 of 05/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4941</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0060765/19 of 05/02/2019)
2) Dealing on own account (Notification 0060765/19 of 05/02/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060765/19 of 05/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CONV-EX ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Crown Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054523/14 of 30/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3989</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0054523/14 of 30/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COPPIN COLLINGS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Juxon House 100 St. Paul'S Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 8bu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069327/15 of 02/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4226</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069327/15 of 02/09/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069327/15 of 02/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CORBETT KEELING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 St. Swithin’ S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 8al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7091009 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1910</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7091009 of 01/11/2007)

2) Investment advice (Notification 7091009 of 01/11/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7091009 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CORNERSTONE FUND PLACEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Hippodrome Mews</td>
</tr>
<tr>
<td>City:</td>
<td>W11 4nn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12009407 of 08/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3345</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12009407 of 08/02/2012)
2) Investment advice (Notification 12009407 of 08/02/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009407 of 08/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CORNHILL MANAGEMENT, O.C.P., A.S.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Einsteinova 24</td>
</tr>
<tr>
<td>City:</td>
<td>85101 - Bratislava</td>
</tr>
<tr>
<td>Country:</td>
<td>Slovacchia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12045999 of 30/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3436</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12045999 of 30/05/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12045999 of 30/05/2012)

3) Investment advice (Notification 12045999 of 30/05/2012)

4) Execution of orders on behalf of clients (Notification 12045999 of 30/05/2012)

5) Portfolio management (Notification 12045999 of 30/05/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12045999 of 30/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CORONATION INTERNATIONAL LIMITED

Registered office: 57-59 Haymarket,

City: Sw1y4qx - Londra

Country: Regno Unito

Notification of Registration: n. 0095914/13 of 12/12/2013

Registration no.: 3876

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0095914/13 of 12/12/2013)
2) Investment advice (Notification 0095914/13 of 12/12/2013)
3) Execution of orders on behalf of clients (Notification 0095914/13 of 12/12/2013)
4) Portfolio management (Notification 0095914/13 of 12/12/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095914/13 of 12/12/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CORRETAJE E INFORMACION MONETARIA Y DE DIVISAS, SOCIEDAD DE VALORES SA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Principe De Vergara, 131 3rd Floor</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>28002 - Madrid</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Spagna</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0000314/16 of 05/01/2016</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4296</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0000314/16 of 05/01/2016)
2) Dealing on own account (Notification 0000314/16 of 05/01/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0000314/16 of 05/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CORSAIR CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5 Jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10028010 of 29/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2821</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10028010 of 29/03/2010)
2) Investment advice (Notification 10028010 of 29/03/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10028010 of 29/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CORUM VERMOGENSVERWALTUNG (DEUTSCHLAND) GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tagernseer Landstrasse 75</td>
</tr>
<tr>
<td>City:</td>
<td>81539 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0077316/16 of 26/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4463</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0077316/16 of 26/08/2016)
2) Execution of orders on behalf of clients (Notification 0077316/16 of 26/08/2016)
3) Portfolio management (Notification 0077316/16 of 26/08/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077316/16 of 26/08/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COSTANCE INVESTMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Arch Makarios Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1077 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079938/15 of 14/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4245</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0079938/15 of 14/10/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0079938/15 of 14/10/2015)

3) Portfolio management (Notification 0079938/15 of 14/10/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: COULTAS & CO LIMITED

Registered office: 8 Brandreth Road

City: Sw17 8er - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 78

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

3) Services related to underwriting (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COURTIERS INVESTMENT SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18a Hart Street</td>
</tr>
<tr>
<td>City:</td>
<td>Rg9 2au - Henley On Thames</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099156 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1981</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7099156 of 07/11/2007)

2) Investment advice (Notification 7099156 of 07/11/2007)

3) Portfolio management (Notification 7099156 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COVENTRY CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Charles Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9069408 of 24/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2641</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 10072612 of 26/08/2010)
2) Portfolio management (Notification 10072612 of 26/08/2010)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9069408 of 24/07/2009)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9069408 of 24/07/2009)
5) Investment advice (Notification 9069408 of 24/07/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9069408 of 24/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: COVERDEAL HOLDINGS LTD

Registered office: Kristelina Tower, 12 Arch. Makarios II Avenue

City: 4000 - Limassol

Country: Cipro

Notification of Registration: n. 0022767/15 of 30/03/2015

Registration no.: 4138

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0022767/15 of 30/03/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0022767/15 of 30/03/2015)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022767/15 of 30/03/2015)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0050035/16 of 30/05/2016)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050035/16 of 30/05/2016)

6) Execution of orders on behalf of clients (Notification 0050035/16 of 30/05/2016)

7) Dealing on own account (Notification 0159679/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COWEN EXECUTION SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16-18 New Bridge Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 6ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8018895 of 29/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2234</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0018230/17 of 08/02/2017)
2) Investment advice (Notification 0018230/17 of 08/02/2017)
3) Execution of orders on behalf of clients (Notification 0018230/17 of 08/02/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8018895 of 29/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>COWEN INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11th Floor 1 Snowden Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6054293 of 22/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1668</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6054293 of 22/06/2006)
2) Services related to underwriting (Notification 6054293 of 22/06/2006)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 6054293 of 22/06/2006)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6054293 of 22/06/2006)
5) Placing of financial instruments without a firm commitment basis (Notification 6054293 of 22/06/2006)
6) Investment advice (Notification 6054293 of 22/06/2006)
7) Execution of orders on behalf of clients (Notification 6054293 of 22/06/2006)
8) Dealing on own account (Notification 6054293 of 22/06/2006)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 6054293 of 22/06/2006)
10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CPH CAPITAL FONDSMAEGLERSELSKAB A/S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Philip Heymans Alle 5,3</td>
</tr>
<tr>
<td>City:</td>
<td>2900 - Hellerup</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13021723 of 19/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3659</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 13021723 of 19/03/2013)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 13021723 of 19/03/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 13021723 of 19/03/2013)

4) Investment advice (Notification 13021723 of 19/03/2013)

5) Execution of orders on behalf of clients (Notification 13021723 of 19/03/2013)

6) Portfolio management (Notification 13021723 of 19/03/2013)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 13021723 of 19/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CPN INVESTMENT MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>All Saints Church West Pallant</td>
</tr>
<tr>
<td>City:</td>
<td>Po19 1td - Chichester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0456874/19 of 05/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5064</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0456874/19 of 05/08/2019)
2) Execution of orders on behalf of clients (Notification 0456874/19 of 05/08/2019)
3) Portfolio management (Notification 0456874/19 of 05/08/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0456874/19 of 05/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CREDICORP CAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 North Parade</td>
</tr>
<tr>
<td>City:</td>
<td>Ip18 6lt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065193/15 of 10/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4218</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065193/15 of 10/08/2015)
2) Investment advice (Notification 0065193/15 of 10/08/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065193/15 of 10/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>CREDIT AGRICOLE INOSUEZ CHEUVREUX NORDIC AB</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Regeringsgatan 38 - P.O. Box 7585</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>S-103 93 - Stoccolma</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Svezia</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 2017335 of 15/03/2002</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1247</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2017335 of 15/03/2002)  
2) Execution of orders on behalf of clients (Notification 2017335 of 15/03/2002)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 2017335 of 15/03/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CREDIT FINANCIER INVEST (CFI) LTD

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>10 Gregori Afxentiou Street, Livadhiotis Court</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>6023 - Larnaca</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13045142 of 23/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3714</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0051185/16 of 01/06/2016)
2) Dealing on own account (Notification 0051185/16 of 01/06/2016)
3) 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 (Notification 13045142 of 23/05/2013)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13045142 of 23/05/2013)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 13045142 of 23/05/2013)
6) Execution of orders on behalf of clients (Notification 13045142 of 23/05/2013)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 13045142 of 23/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CREDIT SUISSE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Cabot Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 4qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>853</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7093813 of 01/11/2007)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7093813 of 01/11/2007)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96056590 of 01/07/1996)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)

6) Investment advice (Notification 96056590 of 01/07/1996)

7) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)

8) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7097600 of 01/11/2007)</td>
</tr>
<tr>
<td>2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7097600 of 01/11/2007)</td>
</tr>
<tr>
<td>3) Operation of an MTF (Notification 7097600 of 01/11/2007)</td>
</tr>
<tr>
<td>4) 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 (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>6) Services related to underwriting (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>7) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>9) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>10) Investment advice (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>11) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>12) Dealing on own account (Notification 96000620 of 03/01/1996)</td>
</tr>
<tr>
<td>13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)</td>
</tr>
</tbody>
</table>
14) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

15) Portfolio management (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) 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 (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>5) Services related to underwriting (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>7) Foreign exchange services where these are connected to the provision of investment services (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>9) Placing of financial instruments without a firm commitment basis (Notification 0043240/19 of 28/01/2019)</td>
</tr>
<tr>
<td>10) Investment advice (Notification 0043240/19 of 28/01/2019)</td>
</tr>
</tbody>
</table>
11) Execution of orders on behalf of clients (Notification 0043240/19 of 28/01/2019)
12) Dealing on own account (Notification 0043240/19 of 28/01/2019)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043240/19 of 28/01/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CREDITEX BROKERAGE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>65 St. Paul’s Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 8ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6068113 of 08/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1691</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0140875/17 of 03/01/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6068113 of 08/08/2006)
3) Operation of an MTF (Notification 7094654 of 01/11/2007)
4) Execution of orders on behalf of clients (Notification 9079497 of 04/09/2009)
5) Dealing on own account (Notification 9079497 of 04/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CRE’DITO AGRICOLA DEALER SOCIEDADE FINANCEIRA DE CORRETAGEM S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Av. De Berna, 24 D/6</td>
</tr>
<tr>
<td>City:</td>
<td>1050 - Lisbona</td>
</tr>
<tr>
<td>Country:</td>
<td>Portogallo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99081807 of 05/11/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>948</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 99081807 of 05/11/1999)
2) Dealing on own account (Notification 99081807 of 05/11/1999)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99081807 of 05/11/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CREDITSIGHTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dashwood House 69 Old Broad St</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040532/17 of 30/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4587</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0040532/17 of 30/03/2017)

2) Investment advice (Notification 0040532/17 of 30/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment firm:

**CREDOS D.O.O.**

On 28/07/2017, HANFA (Croatian Financial Services Supervisory Agency) temporarily banned CREDOS D.O.O. the provision of a service for the reception and transmission of orders relating to one or more financial instruments and the execution of orders on behalf of customers in respect of derivative financial instruments (No.94844/17 of 31/07/2017)

### Registered office:

Nemciceva 7

### City:

100000 - Zagabria

### Country:

Croazia

### Notification of Registration:

n. 0060685/16 of 30/06/2016

### Registration no.:

4421

### SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060685/16 of 30/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CRESCENT CREDIT EUROPE LLP

Registered office: 25 Hanover Square

City: W1s 1jf - Londra

Country: Regno Unito

Notification of Registration: n. 0159691/19 of 26/03/2019

Registration no.: 4987

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0159691/19 of 26/03/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0159691/19 of 26/03/2019)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0159691/19 of 26/03/2019)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0159691/19 of 26/03/2019)

5) Investment advice (Notification 0159691/19 of 26/03/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159691/19 of 26/03/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CRESTA CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hurlingham Studios Ranelagh Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 3pa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0128252/17 of 17/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4714</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0128252/17 of 17/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CRESTLINE EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11-12 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y5lu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0110703/17 of 27/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4684</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0110703/17 of 27/09/2017)
2) Investment advice (Notification 0110703/17 of 27/09/2017)
3) Execution of orders on behalf of clients (Notification 0110703/17 of 27/09/2017)
4) Portfolio management (Notification 0110703/17 of 27/09/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0110703/17 of 27/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** CRITO CAPITAL LLP

**Registered office:** 78 Pall Mall

**City:** Sw1y 5es - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 0077827/15 of 07/10/2015

**Registration no.:** 4242

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077827/15 of 07/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0031877/14 of 16/04/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0031877/14 of 16/04/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0031877/14 of 16/04/2014)

4) Execution of orders on behalf of clients (Notification 0031877/14 of 16/04/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031877/14 of 16/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: CROWDCUBE CAPITAL LIMITED

Registered office: Exeter Campus Rennes Drive

City: Ex4rn - Londra

Country: Regno Unito

Notification of Registration: n. 0084877/17 of 03/07/2017

Registration no.: 4629

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0084877/17 of 03/07/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084877/17 of 03/07/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0084877/17 of 03/07/2017)

4) Investment advice (Notification 0084877/17 of 03/07/2017)

5) Execution of orders on behalf of clients (Notification 0084877/17 of 03/07/2017)

6) Portfolio management (Notification 0084877/17 of 03/07/2017)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084877/17 of 03/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CROWE U.K. LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Salisbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 8eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10063757 of 20/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2913</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10063757 of 20/07/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10063757 of 20/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CSC COMMODITIES UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Snowden Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002211/18 of 09/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4750</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0002211/18 of 09/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CUBICSTONE CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rignall House 5 The Garthgreat Missenden</td>
</tr>
<tr>
<td>City:</td>
<td>Hp16 9aq - Buckinghamshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0591908/19 of 01/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5086</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0591908/19 of 01/10/2019)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0591908/19 of 01/10/2019)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0591908/19 of 01/10/2019)

4) Services related to underwriting (Notification 0591908/19 of 01/10/2019)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0591908/19 of 01/10/2019)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0591908/19 of 01/10/2019)

7) Placing of financial instruments without a firm commitment basis (Notification 0591908/19 of 01/10/2019)

8) Investment advice (Notification 0591908/19 of 01/10/2019)

9) Portfolio management (Notification 0591908/19 of 01/10/2019)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0591908/19 of 01/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CULROSS GLOBAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21-22 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6073548 of 12/09/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1700</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6073548 of 12/09/2006)
2) Investment advice (Notification 6073548 of 12/09/2006)
3) Portfolio management (Notification 6073548 of 12/09/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CUMBERLAND PLACE FINANCIAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6th Floor Thavies Inn House 3-4 Holborn Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1n2ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018236/17 of 08/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4558</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0018236/17 of 08/02/2017)
2) Investment advice (Notification 0018236/17 of 08/02/2017)
3) Portfolio management (Notification 0018236/17 of 08/02/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018236/17 of 08/02/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CURRENCIES DIRECT FINANCIAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6bh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9054336 of 10/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2610</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9054336 of 10/06/2009)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 9054336 of 10/06/2009)

3) Investment advice (Notification 9054336 of 10/06/2009)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9054336 of 10/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  CURRENCY INSIGHT LIMITED

Registered office:  “Shandon”, Cevendish Road, St Georges Hilla

City:  Kt12 0jy - Surrey

Country:  Regno Unito

Notification of Registration:  n. 97000594 of 07/01/1997

Registration no.:  588

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 97000594 of 07/01/1997)
3) Investment advice (Notification 97000594 of 07/01/1997)
4) Portfolio management (Notification 97000594 of 07/01/1997)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 97000594 of 07/01/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CURRO MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 33 Tower 42 25 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7026946 of 02/04/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1780</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7026946 of 02/04/2007)
2) Placing of financial instruments without a firm commitment basis (Notification 7026946 of 02/04/2007)
3) Investment advice (Notification 7026946 of 02/04/2007)
4) Execution of orders on behalf of clients (Notification 7026946 of 02/04/2007)
5) Dealing on own account (Notification 7026946 of 02/04/2007)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7026946 of 02/04/2007)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CUTFIELD FREEMAN &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>218 Harbour Yard</td>
</tr>
<tr>
<td>City:</td>
<td>Sw 100xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11073348 of 24/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3238</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11073348 of 24/08/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11073348 of 24/08/2011)
3) Investment advice (Notification 11073348 of 24/08/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11073348 of 24/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CV PARTNERS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Im Alten Riet 102</td>
</tr>
<tr>
<td>City:</td>
<td>FL9494 - Schaan</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101603/17 of 24/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4658</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0101603/17 of 24/08/2017)
2) Investment advice (Notification 0101603/17 of 24/08/2017)
3) Execution of orders on behalf of clients (Notification 0101603/17 of 24/08/2017)
4) Portfolio management (Notification 0101603/17 of 24/08/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101603/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm:  CVC ADVISERS LIMITED

Registered office:  111 The Strand

City:  Wc2r0ag - Londra

Country:  Regno Unito

Notification of Registration:  n. 11068144 of 01/08/2011

Registration no.:  3217

SERVICES PROVIDED IN ITALY

1)  Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11068144 of 01/08/2011)
2)  Investment advice (Notification 11068144 of 01/08/2011)
3)  Reception and transmission of orders in relation to one or more financial instruments (Notification 11068144 of 01/08/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Execution of orders on behalf of clients (Notification 0093501/13 of 03/12/2013)</td>
</tr>
<tr>
<td>2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11076871 of 09/09/2011)</td>
</tr>
<tr>
<td>3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11076871 of 09/09/2011)</td>
</tr>
<tr>
<td>4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11076871 of 09/09/2011)</td>
</tr>
<tr>
<td>5) Investment advice (Notification 11076871 of 09/09/2011)</td>
</tr>
<tr>
<td>6) Portfolio management (Notification 11076871 of 09/09/2011)</td>
</tr>
<tr>
<td>7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076871 of 09/09/2011)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>CWG MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Coldbath Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1r 5hl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0502488/18 of 04/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4903</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0502488/18 of 04/12/2018)
2) Execution of orders on behalf of clients (Notification 0502488/18 of 04/12/2018)
3) Dealing on own account (Notification 0502488/18 of 04/12/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0502488/18 of 04/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DA VINCI DERIVATIVES B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beursplein 5</td>
</tr>
<tr>
<td>City:</td>
<td>1012jw - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120909/17 of 26/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4701</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0138911/17 of 21/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DAIWA ASSET MANAGEMENT (EUROPE) LTD

Registered office: 5 King William Street

City: Ec4n 7ax - Londra

Country: Regno Unito

Notification of Registration: n. 11083734 of 11/10/2011

Registration no.: 3279

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11083734 of 11/10/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11083734 of 11/10/2011)
3) Investment advice (Notification 11083734 of 11/10/2011)
4) Execution of orders on behalf of clients (Notification 11083734 of 11/10/2011)
5) Portfolio management (Notification 11083734 of 11/10/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11083734 of 11/10/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DAIWA CAPITAL MARKETS DEUTSCHLAND GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neue Mainzer Strasse 1</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0474506/18 of 16/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4896</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0474506/18 of 16/11/2018)
2) Services related to underwriting (Notification 0474506/18 of 16/11/2018)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0474506/18 of 16/11/2018)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0474506/18 of 16/11/2018)
5) Placing of financial instruments without a firm commitment basis (Notification 0474506/18 of 16/11/2018)
6) Investment advice (Notification 0474506/18 of 16/11/2018)
7) Execution of orders on behalf of clients (Notification 0474506/18 of 16/11/2018)
8) Dealing on own account (Notification 0474506/18 of 16/11/2018)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0474506/18 of 16/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 5021020 of 01/04/2005)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5021020 of 01/04/2005)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

4) Services related to underwriting (Notification 96000620 of 03/01/1996)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)

7) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

8) Investment advice (Notification 96000620 of 03/01/1996)

9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

10) Dealing on own account (Notification 96000620 of 03/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DAIWA CORPORATE ADVISORY LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>5, King William Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec4n 7da - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>73</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

3) Services related to underwriting (Notification 96000620 of 03/01/1996)

4) Investment advice (Notification 96000620 of 03/01/1996)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DAIWA SB INVESTMENTS (UK) LTD

Registered office: 14 St Paul'S Churchyard, Condor House

City: Ec4m 8bd - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 352

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Portfolio management (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DALTON STRATEGIC PARTNERSHIP LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Princes Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8aq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5021506 of 04/04/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1534</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5021506 of 04/04/2005)
2) Execution of orders on behalf of clients (Notification 5021506 of 04/04/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5021506 of 04/04/2005)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 6071322 of 29/08/2006)
5) Portfolio management (Notification 6071322 of 29/08/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: D’ANGELIN & CO LIMITED

Registered office: 1 Love Lane

City: Ec2v7jn - Londra

Country: Regno Unito

Notification of Registration: n. 0110708/17 of 27/09/2017

Registration no.: 4685

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0110708/17 of 27/09/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0110708/17 of 27/09/2017)

3) Investment advice (Notification 0110708/17 of 27/09/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0110708/17 of 27/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DANIEL STEWART &amp; COMPANY PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8dd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10060102 of 05/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2901</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10060102 of 05/07/2010)
2) Investment advice (Notification 10060102 of 05/07/2010)
3) Execution of orders on behalf of clients (Notification 10060102 of 05/07/2010)
4) Dealing on own account (Notification 10060102 of 05/07/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10060102 of 05/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DANSK PORTEFOLJE FONDSMAEGLERSELSKAB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Njposgade 17,3, Postbox 418 V 1054</td>
</tr>
<tr>
<td>City:</td>
<td>- Copenhagen</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97009851 of 13/01/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>595</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 97009851 of 13/01/1997)
2) Portfolio management (Notification 97009851 of 13/01/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DARION CAPITAL MANAGEMENT B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Prins Hendrikkade 48a,</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Ac - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 73843/13 of 11/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3809</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 73843/13 of 11/09/2013)
2) Investment advice (Notification 73843/13 of 11/09/2013)
3) Execution of orders on behalf of clients (Notification 73843/13 of 11/09/2013)
4) Portfolio management (Notification 73843/13 of 11/09/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 73843/13 of 11/09/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DASYM MANAGED ACCOUNTS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flevolaan 41a,</td>
</tr>
<tr>
<td>City:</td>
<td>1411 - Naarden</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0073672/15 of 23/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4237</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0073672/15 of 23/09/2015)
2) Portfolio management (Notification 0073672/15 of 23/09/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073672/15 of 23/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DAVENPORT FINANCIAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filmer Grove, Godalming</td>
</tr>
<tr>
<td>City:</td>
<td>Gu7 3ab - Surrey</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8079249 of 25/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2400</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8079249 of 25/08/2008)

2) Investment advice (Notification 8079249 of 25/08/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8079249 of 25/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DAVY CORPORATE FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Davy House, 49 Dawson Street 2</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96060782 of 18/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>898</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10068838 of 04/08/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10096885 of 24/11/2010)
3) Services related to underwriting (Notification 10096885 of 24/11/2010)
4) Placing of financial instruments without a firm commitment basis (Notification 96060782 of 18/07/1996)
5) Investment advice (Notification 96060782 of 18/07/1996)
6) Execution of orders on behalf of clients (Notification 96060782 of 18/07/1996)
7) Portfolio management (Notification 96060782 of 18/07/1996)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96060782 of 18/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DAVY FUND MANAGERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>49 Dawson Street, Davy House</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13053995 of 20/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3733</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 13053995 of 20/06/2013)
2) Portfolio management (Notification 13053995 of 20/06/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13053995 of 20/06/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
| Investment firm: | DAWEDA EXCHANGE LIMITED  
| | Authorization suspended by Cyprus authority since 23/12/2019 |
| Registered office: | Amathountas, 5 - Parekklisia |
| City: | 4533 - Limassol |
| Country: | Cipro |
| Notification of Registration: | n. 0039088/16 of 29/04/2016 |
| Registration no.: | 4368 |

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0039088/16 of 29/04/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0039088/16 of 29/04/2016)

3) Execution of orders on behalf of clients (Notification 0039088/16 of 29/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DBJ EUROPE LIMITED

Registered office: 125 Old Broad Street

City: Ec2n 1ar - Londra

Country: Regno Unito

Notification of Registration: n. 10001639 of 12/01/2010

Registration no.: 2747

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093069/17 of 26/07/2017)
2) 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 (Notification 10001639 of 12/01/2010)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10001639 of 12/01/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10001639 of 12/01/2010)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10001639 of 12/01/2010)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 10001639 of 12/01/2010)
7) Placing of financial instruments without a firm commitment basis (Notification 10001639 of 12/01/2010)
8) Investment advice (Notification 10001639 of 12/01/2010)
9) Execution of orders on behalf of clients (Notification 10001639 of 12/01/2010)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 10001639 of 12/01/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DBL ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Kennersley Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Sk9 5eq - Wilmslow</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7106679 of 04/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2064</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7106679 of 04/12/2007)
2) Investment advice (Notification 7106679 of 04/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7106679 of 04/12/2007)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DBS VICKERS SECURITIES UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Paternoster House 65 St. Paul' S Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 8ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>493</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050677/17 of 19/04/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0050677/17 of 19/04/2017)
3) Investment advice (Notification 0050677/17 of 19/04/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DC DWEK CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Hamilton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Nw8 9px - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092770/13 of 03/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3872</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0092770/13 of 03/12/2013)

2) Investment advice (Notification 0092770/13 of 03/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DC PLACEMENT ADVISORS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Brienner Strasse 14</td>
</tr>
<tr>
<td>City:</td>
<td>80333 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093806/15 of 10/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4279</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093806/15 of 10/12/2015)
2) Investment advice (Notification 0369317/18 of 25/09/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEAN STREET ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Warwick Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5nl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005999/16 of 25/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4309</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0005999/16 of 25/01/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0005999/16 of 25/01/2016)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0005999/16 of 25/01/2016)
4) Investment advice (Notification 0005999/16 of 25/01/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0005999/16 of 25/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEEPBRIDGE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Regus House, Herons Way</td>
</tr>
<tr>
<td>City:</td>
<td>Ch4 9qr - Chester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12011166 of 16/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3352</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12011166 of 16/02/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12011166 of 16/02/2012)
3) Investment advice (Notification 12011166 of 16/02/2012)
4) Execution of orders on behalf of clients (Notification 12011166 of 16/02/2012)
5) Portfolio management (Notification 12011166 of 16/02/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12011166 of 16/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEGIRO B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 442</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Bz - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13005353 of 22/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3604</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0058754/15 of 21/07/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0058754/15 of 21/07/2015)

3) 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 (Notification 0086581/13 of 04/11/2013)

4) Execution of orders on behalf of clients (Notification 13005353 of 22/01/2013)

5) Portfolio management (Notification 13005353 of 22/01/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13005353 of 22/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DELFF MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Thurloe Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw7 2lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3016869 of 14/03/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1348</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 12011225 of 16/02/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12011225 of 16/02/2012)
3) Investment advice (Notification 3016869 of 14/03/2003)
4) Portfolio management (Notification 3016869 of 14/03/2003)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **DELFINUS LLP**

Registered office: 3 Hill Street

City: W1j 5lb - Londra

Country: Regno Unito

Notification of Registration: n. 0213826/19 of 18/04/2019

Registration no.: 5020

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0213826/19 of 18/04/2019)

2) Investment advice (Notification 0213826/19 of 18/04/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0213826/19 of 18/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Foreign exchange services where these are connected to the provision of investment services (Notification 8093399 of 09/10/2008)</td>
</tr>
<tr>
<td>2) Investment advice (Notification 8093399 of 09/10/2008)</td>
</tr>
<tr>
<td>3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8093399 of 09/10/2008)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DELPHI SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Coldbath Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1r 5hl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070163/13 of 22/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3779</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0070163/13 of 22/08/2013)
2) Execution of orders on behalf of clients (Notification 0070163/13 of 22/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070163/13 of 22/08/2013)
4) Dealing on own account (Notification 0089737/17 of 17/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 11095441 of 29/11/2011)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 11095441 of 29/11/2011)

3) Execution of orders on behalf of clients (Notification 11095441 of 29/11/2011)

4) Dealing on own account (Notification 11095441 of 29/11/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11095441 of 29/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DELTA LLOYDS SECURITIES S.A.

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>10/12 Kipdorp</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>B 2000 - Antwerpen</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98072048 of 08/09/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>725</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98072048 of 08/09/1998)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 98072048 of 08/09/1998)
3) Services related to underwriting (Notification 98072048 of 08/09/1998)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98072048 of 08/09/1998)
5) Placing of financial instruments without a firm commitment basis (Notification 98072048 of 08/09/1998)
6) Investment advice (Notification 98072048 of 08/09/1998)
7) Execution of orders on behalf of clients (Notification 98072048 of 08/09/1998)
8) Dealing on own account (Notification 98072048 of 08/09/1998)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 98072048 of 08/09/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
###投资公司：DELTASTOCK AD

**注册地址:** Bvd Tsarigradsko Shose 115 G  
**城市:** 1784 - Sofia  
**国家:** Bulgaria  
**注册号:** 2562  

###在意大利提供的服务

1. 贷款给投资者以允许他进行一项或多项金融工具的交易，该贷款或信贷的授予方须参与该交易（通知 9031091 于 06/04/2009）
2. 为客户的金融工具提供保管和管理服务，包括保管人服务和相关的服务，如现金/抵押品管理（通知 9031091 于 06/04/2009）
3. 金融研究和分析或与金融工具交易有关的一般性说明或推荐（通知 9031091 于 06/04/2009）
4. 外汇服务，这些服务与提供投资服务相关（通知 9031091 于 06/04/2009）
5. 投资建议（通知 9031091 于 06/04/2009）
6. 代表客户执行交易（通知 9031091 于 06/04/2009）
7. 组合管理（通知 9031091 于 06/04/2009）
8. 自有交易（通知 9031091 于 06/04/2009）
9. 与一项或多项金融工具相关的订单接收和传递服务（通知 9031091 于 06/04/2009）

请参考监管机构的网站以获取有关该公司的信息及其潜在的经营限制。

---

<table>
<thead>
<tr>
<th>投资公司:</th>
<th>DELTASTOCK AD</th>
</tr>
</thead>
<tbody>
<tr>
<td>注册地址:</td>
<td>Bvd Tsarigradsko Shose 115 G</td>
</tr>
<tr>
<td>城市:</td>
<td>1784 - Sofia</td>
</tr>
<tr>
<td>国家:</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>注册号:</td>
<td>2562</td>
</tr>
</tbody>
</table>

- 1) 贷款给投资者以允许他进行一项或多项金融工具的交易，该贷款或信贷的授予方须参与该交易（通知 9031091 于 06/04/2009）
- 2) 为客户的金融工具提供保管和管理服务，包括保管人服务和相关的服务，如现金/抵押品管理（通知 9031091 于 06/04/2009）
- 3) 金融研究和分析或与金融工具交易有关的一般性说明或推荐（通知 9031091 于 06/04/2009）
- 4) 外汇服务，这些服务与提供投资服务相关（通知 9031091 于 06/04/2009）
- 5) 投资建议（通知 9031091 于 06/04/2009）
- 6) 代表客户执行交易（通知 9031091 于 06/04/2009）
- 7) 组合管理（通知 9031091 于 06/04/2009）
- 8) 自有交易（通知 9031091 于 06/04/2009）
- 9) 与一项或多项金融工具相关的订单接收和传递服务（通知 9031091 于 06/04/2009）

请参考监管机构的网站 [website](#) 以获取有关该公司的信息及其潜在的经营限制。
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEMETER CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 North Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102258/16 of 16/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4508</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0102258/16 of 16/11/2016)
2) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 0102258/16 of 16/11/2016)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEMICA FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bow Bells House 1 Bread Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9be - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0112497/16 of 21/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4525</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0112497/16 of 21/12/2016)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0112497/16 of 21/12/2016)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0112497/16 of 21/12/2016)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0112497/16 of 21/12/2016)
5) Investment advice (Notification 0112497/16 of 21/12/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0624762/19 of 14/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DENHOLM HALL CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 North Colonnade Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5hs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6064068 of 28/07/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1682</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6064068 of 28/07/2006)
2) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 6064068 of 28/07/2006)
3) Investment research and financial analysis or other forms of general recommendation  
   relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information  
on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DENNY ELLISON ENTERPRISES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Woodberry Grove</td>
</tr>
<tr>
<td>City:</td>
<td>N12odr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11043346 of 16/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3151</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11043346 of 16/05/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEPAHO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Charalambou Mouskou</td>
</tr>
<tr>
<td>City:</td>
<td>2014 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12094394 of 03/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3567</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0003288/14 of 15/01/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0268099/19 of 15/05/2019)

3) Dealing on own account (Notification 0761136/19 of 28/11/2019)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12094394 of 03/12/2012)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 12094394 of 03/12/2012)

6) Execution of orders on behalf of clients (Notification 12094394 of 03/12/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12094394 of 03/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DESCARTES TRADING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Immeuble Basalte, Cours Valmy</td>
</tr>
<tr>
<td>City:</td>
<td>92800 - Puteaux</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0032180/15 of 27/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4156</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0032180/15 of 27/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEVELOPMENT COMPANY FOR ISRAEL (INTERNATIONAL) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>126 Albert Street</td>
</tr>
<tr>
<td>City:</td>
<td>Nw17ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11043354 of 16/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3149</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11043354 of 16/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEVELOPMENT PARTNERS INTERNATIONAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Chelsea Wharf, 15 Lots Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw100qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13035014 of 24/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3684</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13035014 of 24/04/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13035014 of 24/04/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEVERE AND PARTNERS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Eastcheap</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 1eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8111206 of 12/12/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2489</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8111206 of 12/12/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9094757 of 09/11/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEVON CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Fordhook Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>W5 3ls - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1011107 of 14/02/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1099</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1011107 of 14/02/2001)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 1011107 of 14/02/2001)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DEWHURST TOREVELL &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Oxford Court</td>
</tr>
<tr>
<td>City:</td>
<td>M2 3wq - Manchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0136430/17 of 03/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4740</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0136430/17 of 03/01/2018)
2) Investment advice (Notification 0136430/17 of 03/01/2018)
3) Execution of orders on behalf of clients (Notification 0136430/17 of 03/01/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136430/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIAGRAM CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House 1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086306/17 of 06/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4632</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086306/17 of 06/07/2017)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0086306/17 of 06/07/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0086306/17 of 06/07/2017)

4) Investment advice (Notification 0086306/17 of 06/07/2017)

5) Execution of orders on behalf of clients (Notification 0086306/17 of 06/07/2017)

6) Portfolio management (Notification 0086306/17 of 06/07/2017)

7) Dealing on own account (Notification 0086306/17 of 06/07/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086306/17 of 06/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DIAMAN PARTNERS LTD

Registered office: 259 St Paul Street

City: Vlt 1213 - Valletta

Country: Malta

Notification of Registration: n. 0087654/19 of 18/02/2019

Registration no.: 4949

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0087654/19 of 18/02/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087654/19 of 18/02/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0087654/19 of 18/02/2019)

4) Placing of financial instruments without a firm commitment basis (Notification 0087654/19 of 18/02/2019)

5) Investment advice (Notification 0087654/19 of 18/02/2019)

6) Execution of orders on behalf of clients (Notification 0087654/19 of 18/02/2019)

7) Portfolio management (Notification 0087654/19 of 18/02/2019)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087654/19 of 18/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DICKSON FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31 The Avenue Watford</td>
</tr>
<tr>
<td>City:</td>
<td>Wd17 4aj - Hertfordshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8102091 of 07/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2464</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8102091 of 07/11/2008)
2) Investment advice (Notification 8102091 of 07/11/2008)
3) Execution of orders on behalf of clients (Notification 8102091 of 07/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIF BROKER - SOCIEDADE FINANCEIRA DE CORRETAGEM, SA.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rua António Cardoso 601/613 Loja 8</td>
</tr>
<tr>
<td>City:</td>
<td>4150-083 - Porto</td>
</tr>
<tr>
<td>Country:</td>
<td>Portogallo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13022038 of 20/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3663</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13022038 of 20/03/2013)
2) Execution of orders on behalf of clients (Notification 13022038 of 20/03/2013)
3) Portfolio management (Notification 13022038 of 20/03/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13022038 of 20/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIGITAL VEGA FX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Temple Avenue Hamilton House</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11096760 of 05/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3308</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11096760 of 05/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIMENSIONAL FUND ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Triton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Nw1 3bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6096407 of 05/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1730</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6096407 of 05/12/2006)
2) Investment advice (Notification 6096407 of 05/12/2006)
3) Execution of orders on behalf of clients (Notification 6096407 of 05/12/2006)
4) Portfolio management (Notification 6096407 of 05/12/2006)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6096407 of 05/12/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DINOSAUR MERCHANT BANK LIMITED

Registered office: 48-54 Moorgate

City: Ec2r 6ej - Londra

Country: Regno Unito

Notification of Registration: n. 10022613 of 16/03/2010

Registration no.: 2807

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0086901/17 of 07/07/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0088155/17 of 12/07/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0088155/17 of 12/07/2017)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0088155/17 of 12/07/2017)

5) Dealing on own account (Notification 0100121/17 of 17/08/2017)

6) Investment advice (Notification 10022613 of 16/03/2010)

7) Execution of orders on behalf of clients (Notification 10022613 of 16/03/2010)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10022613 of 16/03/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
investment firm: direct hedge danmark fondsmaeglerelskab a/s

registered office: gammel strandvej 18

city: 2990 - niva

country: danimarca

notification of registration: n. 11062180 of 12/07/2011

registration no.: 3197

services provided in italy

1) investment services and activities as well as ancillary services of the type included under section a or b of annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of section c where these are connected to the provision of investment or ancillary services (notification 11062180 of 12/07/2011)

2) execution of orders on behalf of clients (notification 11062180 of 12/07/2011)

3) reception and transmission of orders in relation to one or more financial instruments (notification 11062180 of 12/07/2011)

please make reference to the supervisory home authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIRECT TRADING TECHNOLOGIES UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>69 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ecn7hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0411989/18 of 16/10/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4884</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0411989/18 of 16/10/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0411989/18 of 16/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTERS OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DIVERSIFIED ASSET MANAGEMENT SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Boulevard Royal</td>
</tr>
<tr>
<td>City:</td>
<td>L2449 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049251/17 of 14/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4593</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0049251/17 of 14/04/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0049251/17 of 14/04/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0049251/17 of 14/04/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0049251/17 of 14/04/2017)

5) Investment advice (Notification 0049251/17 of 14/04/2017)

6) Execution of orders on behalf of clients (Notification 0049251/17 of 14/04/2017)

7) Portfolio management (Notification 0049251/17 of 14/04/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049251/17 of 14/04/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DM STEVENSON &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Bonds Hill County Londonderry</td>
</tr>
<tr>
<td>City:</td>
<td>Bt47 6dp - Londonderry</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8009544 of 31/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2196</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8009544 of 31/01/2008)
2) Investment advice (Notification 8009544 of 31/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8009544 of 31/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12095796 of 10/12/2012)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12095796 of 10/12/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DMS CAPITAL SOLUTIONS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>96 Kensington High Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 4sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9096560 of 16/11/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2726</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9096560 of 16/11/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9096560 of 16/11/2009)

3) Investment advice (Notification 9096560 of 16/11/2009)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9096560 of 16/11/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DODGE &amp; COX WORLDWIDE INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Duke Street -</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6bn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10054209 of 14/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2881</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10054209 of 14/06/2010)
2. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10054209 of 14/06/2010)
3. Investment advice (Notification 10054209 of 14/06/2010)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 10054209 of 14/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DOLFIN ASSET SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>89 Level 5 St. John’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>- Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0174029/18 of 28/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4830</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0174029/18 of 28/05/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0174029/18 of 28/05/2018)

3) Placing of financial instruments without a firm commitment basis (Notification 0174029/18 of 28/05/2018)

4) Execution of orders on behalf of clients (Notification 0174029/18 of 28/05/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0174029/18 of 28/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0058762/15 of 21/07/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0058762/15 of 21/07/2015)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0058762/15 of 21/07/2015)

4) Investment advice (Notification 0058762/15 of 21/07/2015)

5) Execution of orders on behalf of clients (Notification 0058762/15 of 21/07/2015)

6) Portfolio management (Notification 0058762/15 of 21/07/2015)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0058762/15 of 21/07/2015)

8) Dealing on own account (Notification 0099809/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DOMIUS CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071844/13 of 30/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3793</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0071844/13 of 30/08/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071844/13 of 30/08/2013)
3) Investment advice (Notification 0071844/13 of 30/08/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071844/13 of 30/08/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DONAUCAPITAL INVESTMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Passauer Str. 5</td>
</tr>
<tr>
<td>City:</td>
<td>94161 - Ruderting</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12048841 of 08/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3446</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12048841 of 08/06/2012)  
2) Execution of orders on behalf of clients (Notification 12048841 of 08/06/2012)  
3) Portfolio management (Notification 12048841 of 08/06/2012)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12048841 of 08/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>DONAUCAPITAL WERTPAPIER GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Passauer Strasse 5</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>D94161 - Ruderting</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Germania</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0122279/17 of 30/10/2017</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4834</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0122279/17 of 30/10/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0122279/17 of 30/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12035033 of 30/04/2012)

2) Investment advice (Notification 12035033 of 30/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DORIC PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 King St</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3nl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12035033 of 30/04/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3405</td>
</tr>
<tr>
<td>Investment firm:</td>
<td>DQN GLOBAL CAPITAL PARTNERS LLP</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-----------------------------------------------------</td>
</tr>
<tr>
<td>Registered office:</td>
<td>Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8102067 of 07/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2462</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8102067 of 07/11/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8102067 of 07/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DR. SAMHABER &amp; PARTNER VERMOEGENSVERWALTUNGS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hasnerstrasse 4</td>
</tr>
<tr>
<td>City:</td>
<td>A-4020 - Linz</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4023881 of 17/03/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1427</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 4023881 of 17/03/2004)
2) Portfolio management (Notification 4023881 of 17/03/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4023881 of 17/03/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DRAGON CAPITAL (CYPRUS) LTD

Registered office: 1 Poseidonos

City: 2406 - Nicosia

Country: Cipro

Notification of Registration: n. 12043878 of 24/05/2012

Registration no.: 3435

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0498109/18 of 30/11/2018)
2) Services related to underwriting (Notification 0498109/18 of 30/11/2018)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0498109/18 of 30/11/2018)
4) Placing of financial instruments without a firm commitment basis (Notification 0498109/18 of 30/11/2018)
5) Investment advice (Notification 0498109/18 of 30/11/2018)
6) 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 (Notification 12043878 of 24/05/2012)
7) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12043878 of 24/05/2012)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12043878 of 24/05/2012)
9) Foreign exchange services where these are connected to the provision of investment services (Notification 12043878 of 24/05/2012)
10) Execution of orders on behalf of clients (Notification 12043878 of 24/05/2012)
11) Dealing on own account (Notification 12043878 of 24/05/2012)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 12043878 of 24/05/2012)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

Please make reference to the Supervisory home Authority  [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DRAGON CAPITAL MARKETS (EUROPE) LIMITED

Registered office: Beehive Yard

City: Ba1 5bb - Bath

Country: Regno Unito

Notification of Registration: n. 6065593 of 02/08/2006

Registration no.: 1684

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6065593 of 02/08/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6065593 of 02/08/2006)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DRC CAPITAL LLP

Registered office: 6 Duke Street,

City: Sw1y 6bn - Londra

Country: Regno Unito

Notification of Registration: n. 12060625 of 19/07/2012

Registration no.: 3472

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12060625 of 19/07/2012)

2) Investment advice (Notification 12060625 of 19/07/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12060625 of 19/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DRESDNER VAN MOER COURTENS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dreve Du Prieure 19 Auderghem</td>
</tr>
<tr>
<td>City:</td>
<td>1160 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99014467 of 03/03/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>761</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 99014467 of 03/03/1999)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 99014467 of 03/03/1999)
3. Investment advice (Notification 99014467 of 03/03/1999)
4. Execution of orders on behalf of clients (Notification 99014467 of 03/03/1999)
5. Portfolio management (Notification 99014467 of 03/03/1999)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 99014467 of 03/03/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DRS MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Warnford Court 29 Throgmorton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n2at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012762/17 of 27/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4548</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0012762/17 of 27/01/2017)
2) Dealing on own account (Notification 0012762/17 of 27/01/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012762/17 of 27/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DRW EUROPE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gustav Mahlerlaan 1212</td>
</tr>
<tr>
<td>City:</td>
<td>1081la - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0162985/19 of 27/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4993</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0162985/19 of 27/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: D.T. DIRECT INVESTMENT HUB LTD

Registered office: 74 Archiepiskopou Makariou C Amaranton Court

City: Limassol

Country: Cipro

Notification of Registration: n. 0071575/19 of 11/02/2019

Registration no.: 4943

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0071575/19 of 11/02/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071575/19 of 11/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DTZ INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6091304 of 15/11/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1737</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 6091304 of 15/11/2006)
2. Execution of orders on behalf of clients (Notification 6091304 of 15/11/2006)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 6091304 of 15/11/2006)
4. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5. Portfolio management (Notification 7103100 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DU PASQUIER &amp; CIE (FRANCE)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31, Avenue Des Champs Elysees</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1046014 of 08/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1131</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1046014 of 08/06/2001)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 1046014 of 08/06/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DUALEDGE CAPITAL MANAGEMENT LLP

Registered office: 27 Arundel Gardens

City: W11 2lw - Londra

Country: Regno Unito

Notification of Registration: n. 10104072 of 23/12/2010

Registration no.: 3047

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10104072 of 23/12/2010)
2) Execution of orders on behalf of clients (Notification 10104072 of 23/12/2010)
3) Portfolio management (Notification 10104072 of 23/12/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10104072 of 23/12/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th></th>
<th>DUET ALTERNATIVE INVESTMENTS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Hill Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5lp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2001005 of 08/01/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1219</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11017263 of 07/03/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 2001005 of 08/01/2002)
3) Investment advice (Notification 2001005 of 08/01/2002)
4) Execution of orders on behalf of clients (Notification 2001005 of 08/01/2002)
5) Portfolio management (Notification 2001005 of 08/01/2002)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 2001005 of 08/01/2002)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DUFF &amp; PHELPS SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Shard 32 London Bridge Street</td>
</tr>
<tr>
<td>City:</td>
<td>Se19sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005219 of 21/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2186</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8005219 of 21/01/2008)
2) Investment advice (Notification 8005219 of 21/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8005219 of 21/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DUKASCOPY EUROPE IBS AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lacplesa Street 20a-1</td>
</tr>
<tr>
<td>City:</td>
<td>Lv 1011 - Riga</td>
</tr>
<tr>
<td>Country:</td>
<td>Lettonia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11078739 of 20/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3264</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0083419/13 of 22/10/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0083419/13 of 22/10/2013)
3) Investment advice (Notification 0083419/13 of 22/10/2013)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11078739 of 20/09/2011)
5) Placing of financial instruments without a firm commitment basis (Notification 11078739 of 20/09/2011)
6) Execution of orders on behalf of clients (Notification 11078739 of 20/09/2011)
7) Portfolio management (Notification 11078739 of 20/09/2011)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11078739 of 20/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DUPONT-DENANT CONTREPARTIE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Rue Reaumur</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99083115 of 11/11/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>950</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 99083115 of 11/11/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: DWS INTERNATIONAL GMBH

Registered office: Mainzer Landstrasse 11-17

City: 60329 - Frankfurt Am Main

Country: Germania

Notification of Registration: n. 2072744 of 06/11/2002

Registration no.: 1334

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0001439/19 of 02/01/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0001439/19 of 02/01/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0001439/19 of 02/01/2019)

4) Investment advice (Notification 2072744 of 06/11/2002)

5) Portfolio management (Notification 2072744 of 06/11/2002)

6) Execution of orders on behalf of clients (Notification 7011701 of 08/02/2007)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 7011701 of 08/02/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>DWS INVESTMENTS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Winchester House 1 Great Winchester Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005166 of 21/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2179</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8005166 of 21/01/2008)  
2) Investment advice (Notification 8005166 of 21/01/2008)  
3) Portfolio management (Notification 8005166 of 21/01/2008)  
4) Execution of orders on behalf of clients (Notification 9039187 of 29/04/2009)  
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9039187 of 29/04/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>E D &amp; F MAN CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The News Building 3 London Bridge Street</td>
</tr>
<tr>
<td>City:</td>
<td>Se1 9sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12014358 of 27/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3637</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12014358 of 27/02/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12014358 of 27/02/2012)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12014358 of 27/02/2012)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12014358 of 27/02/2012)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 12014358 of 27/02/2012)

6) Investment advice (Notification 12014358 of 27/02/2012)

7) Execution of orders on behalf of clients (Notification 12014358 of 27/02/2012)

8) Dealing on own account (Notification 12014358 of 27/02/2012)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 12014358 of 27/02/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>E J GLANVILLE &amp; CO (INVESTMENT BROKERS) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neville House 66 High Street</td>
</tr>
<tr>
<td>City:</td>
<td>B95 5bx - Henley In Arden</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7110831 of 20/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2149</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7110831 of 20/12/2007)
2) Investment advice (Notification 7110831 of 20/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7110831 of 20/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EAST CAPITAL AB

Registered office: Box 1364

City: 111 93 - Stoccolma

Country: Svezia

Notification of Registration: n. 7108914 of 13/12/2007

Registration no.: 2113

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 7108914 of 13/12/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EAST FUND MANAGEMENTBERATUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kartner Ring 11/13/7.6.3</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98082145 of 21/10/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>734</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 98082145 of 21/10/1998)
2) Portfolio management (Notification 98082145 of 21/10/1998)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 98082145 of 21/10/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EASTERN HARMONY GLOBAL CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor Birkett House 27 Albermarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4hz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065930/17 of 12/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4605</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0065930/17 of 12/05/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065930/17 of 12/05/2017)

3) Investment advice (Notification 0065930/17 of 12/05/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065930/17 of 12/05/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EASTWOOD ANGLO CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Burnell Arms - Village Winkburn</td>
</tr>
<tr>
<td>City:</td>
<td>Ng22 8pq - Newark (Contea Di Notts)</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 76289 of 17/10/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1054</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 76289 of 17/10/2000)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 76289 of 17/10/2000)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>EASY FOREX TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Griva Digeni Ave Kriel Court, Office 303</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>3035 - Limassol</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Cipro</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 7077557 of 22/08/2007</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1852</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 12067561 of 10/08/2012)
2) 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 (Notification 7077557 of 22/08/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 7077557 of 22/08/2007)
4) Dealing on own account (Notification 7077557 of 22/08/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7077557 of 22/08/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EATON PARTNERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41-46 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 0ds - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8079073 of 22/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2396</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8079073 of 22/08/2008)
2) Investment advice (Notification 8079073 of 22/08/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8079073 of 22/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EATON VANCE MANAGEMENT (INTERNATIONAL) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2027120 of 23/04/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1266</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 2027120 of 23/04/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2027120 of 23/04/2002)
3) Investment advice (Notification 7013772 of 15/02/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EB PORTFOLIOMANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gusshaussgrasse 3/2</td>
</tr>
<tr>
<td>City:</td>
<td>1040 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0008398/15 of 04/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4094</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0008398/15 of 04/02/2015)
2) Portfolio management (Notification 0008398/15 of 04/02/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0008398/15 of 04/02/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EBRO'KERHA'Z BFEKETETE'SI SZOLGA'LTATO' ZRT

Registered office: Szabadság Tér 14

City: 1054 - Budapest

Country: Ungheria

Notification of Registration: n. 10092977 of 10/11/2010

Registration no.: 3011

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10092977 of 10/11/2010)
2) Execution of orders on behalf of clients (Notification 10092977 of 10/11/2010)
3) Portfolio management (Notification 10092977 of 10/11/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10092977 of 10/11/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>E BROKERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>New Broad Street House 35 New Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1nh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7092062 of 15/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1867</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 7092062 of 15/10/2007)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 7092062 of 15/10/2007)
3. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: Ebury Partners Markets Limited

Registered office: 100 Victoria Street

City: Sw1e 5jl - Londra

Country: Regno Unito

Notification of Registration: n. 0141051/17 of 03/01/2018

Registration no.: 4746

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0141051/17 of 03/01/2018)
2) Investment advice (Notification 0141051/17 of 03/01/2018)
3) Execution of orders on behalf of clients (Notification 0141051/17 of 03/01/2018)
4) Dealing on own account (Notification 0141051/17 of 03/01/2018)

Please make reference to the Supervisory home Authority's website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EBW CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41-43 Brook Street Mayfair,</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087297/16 of 03/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4477</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0087297/16 of 03/10/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087297/16 of 03/10/2016)

3) Investment advice (Notification 0087297/16 of 03/10/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087297/16 of 03/10/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EC HAM BRO RABBEN & PARTNERS LTD

Registered office: 12 Albermarle Street

City: W1x 3he - Londra

Country: Regno Unito

Notification of Registration: n. 99022001 of 22/03/1999

Registration no.: 931

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99022001 of 22/03/1999)
3) Investment advice (Notification 99022001 of 22/03/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99022001 of 22/03/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ECHO CAPITAL UK LTD

Registered office: 42 Berkeley Square

City: W1J 5aw - Londra

Country: Regno Unito

Notification of Registration: n. 0092769/13 of 29/11/2013

Registration no.: 3871

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0092769/13 of 29/11/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0092769/13 of 29/11/2013)

3) Investment advice (Notification 0092769/13 of 29/11/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092769/13 of 29/11/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ECLIPSE OPTIONS (NL) B.V.

Registered office: Beech Avenue 54-80

City: 1119 Pw - Schiphol

Country: Paesi Bassi

Notification of Registration: n. 9101668 of 07/12/2009

Registration no.: 2735

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 9101668 of 07/12/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ED &amp; F MAN CAPITAL MARKETS CEEMA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>205 Archbishop Makarios III Avenue, Victory House</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0594333/19 of 02/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5089</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0594333/19 of 02/10/2019)
2) Dealing on own account (Notification 0594333/19 of 02/10/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0594333/19 of 02/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDDIEUK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Beeston Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w0jj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0312836/18 of 17/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4863</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0312836/18 of 17/08/2018)
2) Dealing on own account (Notification 0312836/18 of 17/08/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0312836/18 of 17/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDELWEISS FINANCIAL SERVICES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Old Police Station House Spratt Hall Road</td>
</tr>
<tr>
<td>City:</td>
<td>E11h2rq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101279/16 of 14/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4503</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0101279/16 of 14/11/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0101279/16 of 14/11/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0101279/16 of 14/11/2016)

4) Placing of financial instruments without a firm commitment basis (Notification 0101279/16 of 14/11/2016)

5) Investment advice (Notification 0101279/16 of 14/11/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101279/16 of 14/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDENRED CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Sheldon Square</td>
</tr>
<tr>
<td>City:</td>
<td>W2 6hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029416 of 17/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4154</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0029416 of 17/04/2015)
2) Investment advice (Notification 0029416 of 17/04/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029416 of 17/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EDINBURGH PARTNERS LIMITED

Registered office: 27-31 Melville Street

City: Edimburgo

Country: Regno Unito

Notification of Registration: n. 0019843/14 of 13/03/2014

Registration no.: 3929

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0019843/14 of 13/03/2014)
2) Investment advice (Notification 0019843/14 of 13/03/2014)
3) Execution of orders on behalf of clients (Notification 0019843/14 of 13/03/2014)
4) Portfolio management (Notification 0019843/14 of 13/03/2014)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019843/14 of 13/03/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDISON INVESTMENT RESEARCH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>296-302 High Holborn</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1v 7jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10060103 of 05/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2902</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10060103 of 05/07/2010)

2) Investment advice (Notification 10060103 of 05/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDISON WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Old Burlington Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11059059 of 30/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3191</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11059059 of 30/06/2011)
2) Investment advice (Notification 11059059 of 30/06/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11059059 of 30/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDM SERVICIOS FINANCIEROS, AGENCIA DE VALORES, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Av.Diagonal, 399, 5a Planta</td>
</tr>
<tr>
<td>City:</td>
<td>08008 - Barcellona</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11095442 of 29/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3304</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 11095442 of 29/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDMOND DE ROTHSCHILD ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Carlton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12076026 of 24/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3515</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12076026 of 24/09/2012)  
2) Placing of financial instruments without a firm commitment basis (Notification 12076026 of 24/09/2012)  
3) Investment advice (Notification 12076026 of 24/09/2012)  
4) Execution of orders on behalf of clients (Notification 12076026 of 24/09/2012)  
5) Portfolio management (Notification 12076026 of 24/09/2012)  
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12076026 of 24/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EDMOND DE ROTHSCHILD CAPITAL HOLDINGS LIMITED

Registered office: 4 Carlton Gardens

City: Sw1y5aa - Londra

Country: Regno Unito

Notification of Registration: n. 12013191 of 22/02/2012

Registration no.: 3364

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12013191 of 22/02/2012)
2) Investment advice (Notification 12013191 of 22/02/2012)
3) Execution of orders on behalf of clients (Notification 12013191 of 22/02/2012)
4) Portfolio management (Notification 12013191 of 22/02/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EDMOND DE ROTHSCILD PRIVATE MERCHANT BANKING LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Carlton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y5aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13011157 of 11/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3631</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13011157 of 11/02/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13011157 of 11/02/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 13011157 of 11/02/2013)

4) Placing of financial instruments without a firm commitment basis (Notification 13011157 of 11/02/2013)

5) Investment advice (Notification 13011157 of 11/02/2013)

6) Execution of orders on behalf of clients (Notification 13011157 of 11/02/2013)

7) Portfolio management (Notification 13011157 of 11/02/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13011157 of 11/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0042700/15 of 27/05/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0042700/15 of 27/05/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0042700/15 of 27/05/2015)

4) Execution of orders on behalf of clients (Notification 0042700/15 of 27/05/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0042700/15 of 27/05/2015)

6) Investment advice (Notification 0103335/17 of 01/09/2017)

7) Portfolio management (Notification 0103335/17 of 01/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EEA FUND MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Billiter Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 2ry - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8066544 of 15/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2354</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 8066544 of 15/07/2008)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EEP ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>76 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1y 1y - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2017211 of 14/03/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1246</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 2017211 of 14/03/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Service Provided in Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Safekeeping and administration of financial instruments for the account of clients,</td>
</tr>
<tr>
<td>including custodianship and related services such as cash/collateral management and</td>
</tr>
<tr>
<td>excluding providing and maintaining securities accounts at the top tier level (Notification</td>
</tr>
<tr>
<td>12235 of 17/02/2000)</td>
</tr>
<tr>
<td>2) Foreign exchange services where these are connected to the provision of investment</td>
</tr>
<tr>
<td>services (Notification 12235 of 17/02/2000)</td>
</tr>
<tr>
<td>3) Execution of orders on behalf of clients (Notification 12235 of 17/02/2000)</td>
</tr>
<tr>
<td>4) Reception and transmission of orders in relation to one or more financial instruments</td>
</tr>
<tr>
<td>(Notification 12235 of 17/02/2000)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EFEKTA CONSULTING A.S.

Registered office: Erbenova 312/1

City: 60200 - Brno

Country: Repubblica Ceca

Notification of Registration: n. 10059507 of 02/07/2010

Registration no.: 2896

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10059507 of 02/07/2010)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10059507 of 02/07/2010)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10059507 of 02/07/2010)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10059507 of 02/07/2010)

5) Investment advice (Notification 10059507 of 02/07/2010)

6) Execution of orders on behalf of clients (Notification 10059507 of 02/07/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10059507 of 02/07/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EGL SVERIGE AB

Registered office: Stortorget 29

City: 211 39 - Malmo

Country: Svezia

Notification of Registration: n. 8085605 of 17/09/2008

Registration no.: 2419

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8085605 of 17/09/2008)
2) Investment advice (Notification 8085605 of 17/09/2008)
3) Execution of orders on behalf of clients (Notification 8085605 of 17/09/2008)
4) Portfolio management (Notification 8085605 of 17/09/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8085605 of 17/09/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EGR BROKING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Hanover Square - Landmark House</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11098404 of 13/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3315</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 11098404 of 13/12/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11098404 of 13/12/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EH CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Unit 3 Smith House George Street Nailsworth Stroud</td>
</tr>
<tr>
<td>City:</td>
<td>G16 0ag - Stroud</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0132352/17 of 01/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4722</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0132352/17 of 01/12/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0132352/17 of 01/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EIGER SECURITIES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Calvin Street</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6hf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9076510 of 21/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2662</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093075/17 of 26/07/2017)
2) Execution of orders on behalf of clients (Notification 9076510 of 21/08/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9076510 of 21/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EIM FRANCE SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21, Place De La Madeleine</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5000427 of 05/01/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1507</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5000427 of 05/01/2005)  
2) Portfolio management (Notification 5000427 of 05/01/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EKISTICS PROPERTY ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k4qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11007848 of 02/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3069</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11007848 of 02/02/2011)
2) Investment advice (Notification 11007848 of 02/02/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11007848 of 02/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6100311 of 21/12/2006)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6100311 of 21/12/2006)

3) Services related to underwriting (Notification 6100311 of 21/12/2006)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 6100311 of 21/12/2006)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6100311 of 21/12/2006)

6) Placing of financial instruments without a firm commitment basis (Notification 6100311 of 21/12/2006)

7) Investment advice (Notification 6100311 of 21/12/2006)

8) Execution of orders on behalf of clients (Notification 6100311 of 21/12/2006)

9) Portfolio management (Notification 6100311 of 21/12/2006)

10) Dealing on own account (Notification 6100311 of 21/12/2006)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 6100311 of 21/12/2006)

12) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ELECTRONIC AND VOICE FOREIGN EXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0082984/15 of 26/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4248</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0082984/15 of 26/10/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0082984/15 of 26/10/2015)
3) Dealing on own account (Notification 0090726/17 of 19/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ELEVA CAPITAL LLP

Registered office: 62-64 Baker Street
City: W1u 7df - Londra
Country: Regno Unito
Notification of Registration: n. 0020090/15 of 20/03/2015
Registration no.: 4130

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0020090/15 of 20/03/2015)
2) Investment advice (Notification 0020090/15 of 20/03/2015)
3) Execution of orders on behalf of clients (Notification 0020090/15 of 20/03/2015)
4) Portfolio management (Notification 0020090/15 of 20/03/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0020090/15 of 20/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ELEVATION TRADING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dawson House, 5 Jewry Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 2ex - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0004181/16 of 18/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4303</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0004181/16 of 18/01/2016)
2) Investment advice (Notification 0004181/16 of 18/01/2016)
3) Execution of orders on behalf of clients (Notification 0004181/16 of 18/01/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004181/16 of 18/01/2016)
5) Dealing on own account (Notification 0090734/17 of 19/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

| Investment firm: | ELGAR MIDDLETON INFRASTRUCTURE AND ENERGY FINANCE LLP |
| Registered office: | Dauntsey House4b Frederick’S Place |
| City: | Ec2r 8ab - Londra |
| Country: | Regno Unito |
| Notification of Registration: | n. 0547890/19 of 13/09/2019 |
| Registration no.: | 5081 |

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0547890/19 of 13/09/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0547890/19 of 13/09/2019)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0547890/19 of 13/09/2019)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0547890/19 of 13/09/2019)
5) Investment advice (Notification 0547890/19 of 13/09/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547890/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ELITE CLUB DEAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Paternoster Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m7ls - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029190/17 of 06/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4574</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 0029190/17 of 06/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Registration No.: 2728

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9096549 of 16/11/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9096549 of 16/11/2009)
3) Investment advice (Notification 9096549 of 16/11/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9096549 of 16/11/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ELOS (UK) LIMITED

Registered office: 15 Connaught Avenue

City: Sw14 7rh - Londra

Country: Regno Unito

Notification of Registration: n. 0021518/16 of 11/03/2016

Registration no.: 4340

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0021518/16 of 11/03/2016)
2) Execution of orders on behalf of clients (Notification 0021518/16 of 11/03/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021518/16 of 11/03/2016)
4) Dealing on own account (Notification 0091043/17 of 19/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ELSTONE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Unit D The Tower Marina Bay</td>
</tr>
<tr>
<td>City:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036676/17 of 23/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4584</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0036676/17 of 23/03/2017)
2) Portfolio management (Notification 0036676/17 of 23/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
ELTON CAPITAL ADVISORS LIMITED

Registered office: 96 Kensington High Street

City: W8 4sg - Londra

Country: Regno Unito

Notification of Registration: n. 13047785 of 30/05/2013

Registration no.: 3720

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13047785 of 30/05/2013)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 13047785 of 30/05/2013)

3) Investment advice (Notification 13047785 of 30/05/2013)

4) Execution of orders on behalf of clients (Notification 13047785 of 30/05/2013)

5) Portfolio management (Notification 13047785 of 30/05/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13047785 of 30/05/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EM QUEST LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4-12 Regent Steet</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4rg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045116/15 of 04/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4180</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0045116/15 of 04/06/2015)
2) Investment advice (Notification 0045116/15 of 04/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EMCORE AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Marktgass 11</td>
</tr>
<tr>
<td>City:</td>
<td>Li-9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0091040/17 of 19/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4638</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0091040/17 of 19/07/2017)
2) Investment advice (Notification 0091040/17 of 19/07/2017)
3) Execution of orders on behalf of clients (Notification 0091040/17 of 19/07/2017)
4) Portfolio management (Notification 0091040/17 of 19/07/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0091040/17 of 19/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EMERGO WEALTH LTD

Registered office: 12, Demosthenis Severis Avenue

City: 1080 - Nicosia

Country: Cipro

Notification of Registration: n. 0136992/17 of 18/12/2017

Registration no.: 4731

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0136992/17 of 18/12/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0136992/17 of 18/12/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0136992/17 of 18/12/2017)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0136992/17 of 18/12/2017)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0136992/17 of 18/12/2017)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0136992/17 of 18/12/2017)

7) Investment advice (Notification 0136992/17 of 18/12/2017)

8) Portfolio management (Notification 0136992/17 of 18/12/2017)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136992/17 of 18/12/2017)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EM-ES FUND MANAGEMENT LLP

Registered office: Gridiron Building One Pancras Square

City: N1c4ag - Londra

Country: Regno Unito

Notification of Registration: n. 7103516 of 22/11/2007

Registration no.: 2089

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7103516 of 22/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103516 of 22/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EMFI CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Devonshire Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 6jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0388969/19 of 04/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5050</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0388969/19 of 04/07/2019)
2) Investment advice (Notification 0388969/19 of 04/07/2019)
3) Execution of orders on behalf of clients (Notification 0388969/19 of 04/07/2019)
4) Portfolio management (Notification 0388969/19 of 04/07/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0388969/19 of 04/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EMFI SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lower Ground Floor London,</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 6jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025432/17 of 24/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4568</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0025432/17 of 24/02/2017)
2) Execution of orders on behalf of clients (Notification 0025432/17 of 24/02/2017)
3) Dealing on own account (Notification 0025432/17 of 24/02/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025432/17 of 24/02/2017)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EMIRATES WEALTH EAD

Registered office: 84-86 Alexander Stamboliiski Blvd

City: 1303 - Sofia

Country: Bulgaria

Notification of Registration: n. 11035245 of 22/04/2011

Registration no.: 3133

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11035245 of 22/04/2011)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11035245 of 22/04/2011)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11035245 of 22/04/2011)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11035245 of 22/04/2011)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 11035245 of 22/04/2011)

6) Placing of financial instruments without a firm commitment basis (Notification 11035245 of 22/04/2011)

7) Investment advice (Notification 11035245 of 22/04/2011)

8) Execution of orders on behalf of clients (Notification 11035245 of 22/04/2011)

9) Portfolio management (Notification 11035245 of 22/04/2011)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 11035245 of 22/04/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENCLUDE CAPITAL ADVISORY UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Bedford Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1b 3au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 73477/13 of 10/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3802</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 73477/13 of 10/09/2013)
2) Investment advice (Notification 73477/13 of 10/09/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 73477/13 of 10/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENDEAVOUR FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37, Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002409/14 of 13/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3886</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0002409/14 of 13/01/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002409/14 of 13/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ENDURANCE GLOBAL WEATHER RISK ADVISORS LIMITED

Registered office: 2 Minster Court

City: Ec3r 7bb - Londra

Country: Regno Unito

Notification of Registration: n. 0096890/13 of 17/12/2013

Registration no.: 3878

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096890/13 of 17/12/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENERGIAKOLMIO PORTFOLIO SERVICES OY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ohjelmakaari 10</td>
</tr>
<tr>
<td>City:</td>
<td>40500 - Jyvaskyla</td>
</tr>
<tr>
<td>Country:</td>
<td>Finlandia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0014972/15 of 27/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4111</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0014972/15 of 27/02/2015)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0014972/15 of 27/02/2015)
3) Investment advice (Notification 0014972/15 of 27/02/2015)
4) Execution of orders on behalf of clients (Notification 0014972/15 of 27/02/2015)
5) Portfolio management (Notification 0014972/15 of 27/02/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0014972/15 of 27/02/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENGIE GLOBAL MARKETS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Place Samuel De Champlain</td>
</tr>
<tr>
<td>City:</td>
<td>92400 - Courbevoie</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4082015 of 17/09/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1474</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 15467 of 20/06/2006)
2) Execution of orders on behalf of clients (Notification 15467 of 20/06/2006)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4082015 of 17/09/2004)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 4082015 of 17/09/2004)
5) Investment advice (Notification 4082015 of 17/09/2004)
6) Execution of orders on behalf of clients (Notification 4082015 of 17/09/2004)
7) Dealing on own account (Notification 4082015 of 17/09/2004)
8) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8037499 of 22/04/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENPI LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Pont Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 0bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075918/13 of 24/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3821</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0075918/13 of 24/09/2013)
2) Execution of orders on behalf of clients (Notification 0075918/13 of 24/09/2013)
3) Portfolio management (Notification 0075918/13 of 24/09/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075918/13 of 24/09/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ENTERPRISE INVESTMENT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>East Side Kings Cross Station</td>
</tr>
<tr>
<td>City:</td>
<td>N1c 4ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0061517/15 of 29/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4215</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0061517/15 of 29/07/2015)
2) Portfolio management (Notification 0061517/15 of 29/07/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061517/15 of 29/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
ENVENT CAPITAL MARKETS LIMITED

Registered office: 42 Berkeley Square
City: W1J5aw - Londra
Country: Regno Unito
Notification of Registration: n. 0020138/15 of 20/03/2015
Registration no.: 4134

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0020138/15 of 20/03/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0020138/15 of 20/03/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0020138/15 of 20/03/2015)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0020138/15 of 20/03/2015)

5) Investment advice (Notification 0020138/15 of 20/03/2015)

6) Execution of orders on behalf of clients (Notification 0020138/15 of 20/03/2015)

7) Portfolio management (Notification 0020138/15 of 20/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EOS VENTURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Rue Spontini</td>
</tr>
<tr>
<td>City:</td>
<td>75116 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0091433/16 of 14/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4489</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0091433/16 of 14/10/2016)

2) Investment advice (Notification 0091433/16 of 14/10/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Information</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment firm:</td>
<td>EOS WEALTH MANAGEMENT LIMITED</td>
</tr>
<tr>
<td>Registered office:</td>
<td>30 City Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1y2ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0044624/14 of 28/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3968</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0044624/14 of 28/05/2014)
2) Investment advice (Notification 0044624/14 of 28/05/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0044624/14 of 28/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EPIC PRIVATE EQUITY LIMITED

Registered office: 22 Billiter Street

City: Ec3m2ry - Londra

Country: Regno Unito

Notification of Registration: n. 9091611 of 28/10/2009

Registration no.: 2707

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9091611 of 28/10/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9091611 of 28/10/2009)

3) Placing of financial instruments without a firm commitment basis (Notification 9091611 of 28/10/2009)

4) Investment advice (Notification 9091611 of 28/10/2009)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9091611 of 28/10/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EPICON INVESTMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Handelskai 94-96</td>
</tr>
<tr>
<td>City:</td>
<td>1200 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 80404 of 27/10/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1367</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 80404 of 27/10/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 80404 of 27/10/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EPIVEST AG

Registered office: Landstrasse 14

City: FL-9496 - Balzers

Country: Liechtenstein

Notification of Registration: n. 8069735 of 24/07/2008

Registration no.: 2376

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8069735 of 24/07/2008)

2) Investment advice (Notification 8069735 of 24/07/2008)

3) Portfolio management (Notification 8069735 of 24/07/2008)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8069735 of 24/07/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EPLANET CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Farm Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5rl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057812/13 of 04/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3741</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0057812/13 of 04/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQ INVESTORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Lower Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 6dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11088445 of 31/10/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3291</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11088445 of 31/10/2011)
2) Execution of orders on behalf of clients (Notification 11088445 of 31/10/2011)
3) Portfolio management (Notification 11088445 of 31/10/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11088445 of 31/10/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQUATEX UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>85 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0098526/16 of 04/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4497</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0098526/16 of 04/11/2016)

2) Execution of orders on behalf of clients (Notification 0098526/16 of 04/11/2016)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098526/16 of 04/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQUILEND EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Leadenhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 1lp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4010506 of 05/02/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1418</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 4010506 of 05/02/2004)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 4010506 of 05/02/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **EQUILEND LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Harmony Row South Point</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0169574/19 of 01/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5007</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0169574/19 of 01/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQUINITI FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Aspect House Spencer Road Lancing</td>
</tr>
<tr>
<td>City:</td>
<td>Bn99 6da - West Sussex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7083736 of 18/09/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1848</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0091776/17 of 21/07/2017)
2) Execution of orders on behalf of clients (Notification 13014217 of 20/02/2012)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7083736 of 18/09/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7083736 of 18/09/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQUITI CAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13-14 King Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11065874 of 25/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3205</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 11065874 of 25/07/2011)
2) Dealing on own account (Notification 11065874 of 25/07/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065874 of 25/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EQUITIES FIRST (LONDON) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Wilder Walk</td>
</tr>
<tr>
<td>City:</td>
<td>W1 5ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088096/14 of 10/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4057</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0088096/14 of 10/11/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088096/14 of 10/11/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### SERVICES PROVIDED IN ITALY

1) 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 (Notification 0090591/19 of 19/02/2019)
2) Execution of orders on behalf of clients (Notification 0090591/19 of 19/02/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090591/19 of 19/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ERG FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>65 Louis Braille Way -</td>
</tr>
<tr>
<td>City:</td>
<td>Eh414lt - Gorebridge</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11035242 of 22/04/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3131</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11035242 of 22/04/2011)
2) Investment advice (Notification 11035242 of 22/04/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11035242 of 22/04/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
ERIK PENSER FONDKOMMISSSION AB

Biblioteksgatan 9
103 91 - Stoccolma
Svezia
n. 97081790 of 24/11/1997
642

SERVICES PROVIDED IN ITALY

1) 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 (Notification 97081790 of 24/11/1997)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97081790 of 24/11/1997)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 97081790 of 24/11/1997)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 97081790 of 24/11/1997)
5) Investment advice (Notification 97081790 of 24/11/1997)
6) Execution of orders on behalf of clients (Notification 97081790 of 24/11/1997)
7) Portfolio management (Notification 97081790 of 24/11/1997)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 97081790 of 24/11/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ERMGASSEN &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Michelin House 81 Fulham Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 6rd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>111</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 3024773 of 17/04/2003)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>ERMIN FOSSE FINANCIAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Waterloo Cirencester</td>
</tr>
<tr>
<td>City:</td>
<td>GL7 2py - Gloucester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7098445 of 05/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1935</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098445 of 05/11/2007)
2) Investment advice (Notification 7098445 of 05/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098445 of 05/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ESECLENDING (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7tw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6047198 of 25/05/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1655</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 6047198 of 25/05/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ESFERA CAPITAL, AGENCIA DE VALORES, SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ci Chillida, 4 Planta 4a, Puerta 4</td>
</tr>
<tr>
<td>City:</td>
<td>0470 - Almeria</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059529/16 of 27/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4418</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0059529/16 of 27/06/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0059529/16 of 27/06/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059529/16 of 27/06/2016)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0059529/16 of 27/06/2016)

5) Portfolio management (Notification 0059529/16 of 27/06/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059529/16 of 27/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ESO CAPITAL PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Palladium House, 1-4 Argyll Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f7ta - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040960/15 of 21/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4173</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0040960/15 of 21/05/2015)
2) Execution of orders on behalf of clients (Notification 0040960/15 of 21/05/2015)
3) Portfolio management (Notification 0040960/15 of 21/05/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0040960/15 of 21/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ESTATER ADVISORY LLP

Registered office: 272 Kings Road

City: Sw3 5aw - Londra

Country: Regno Unito

Notification of Registration: n. 12079442 of 05/10/2012

Registration no.: 3519

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12079442 of 05/10/2012)
2) Investment advice (Notification 12079442 of 05/10/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12079442 of 05/10/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ETFMATIC LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4-5 Bonhill Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040847/16 of 05/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4374</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0040847/16 of 05/05/2016)

2) Portfolio management (Notification 0040847/16 of 05/05/2016)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0040847/16 of 05/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ETHICALFIN LIMITED

Registered office: Portland House - Bressenden Place

City: Sw1e5rs - Londra

Country: Regno Unito

Notification of Registration: n. 10063753 of 20/07/2010

Registration no.: 2917

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10063753 of 20/07/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10063753 of 20/07/2010)

3) Investment advice (Notification 10063753 of 20/07/2010)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 13000288 of 03/01/2013)

5) Placing of financial instruments without a firm commitment basis (Notification 13000288 of 03/01/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000288 of 03/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>ETHOS CAPITAL ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>156 Clifford'S Inn</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec4a 1by - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 12091726 of 22/11/2012</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3564</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12091726 of 22/11/2012)
2) Investment advice (Notification 12091726 of 22/11/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12091726 of 22/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ETHOS VERMOGENSVERWALTUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Petersbrunnstrasse 2</td>
</tr>
<tr>
<td>City:</td>
<td>5020 - Salisburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9020807 of 06/03/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2543</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11010038 of 14/02/2011)
2) Portfolio management (Notification 9020807 of 06/03/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ETORO (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4, Profiti Ilias Street, Kanika Business Centre,</td>
</tr>
<tr>
<td>City:</td>
<td>4046 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10033275 of 14/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2830</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0064182/14 of 31/07/2014)
2) 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 (Notification 10033275 of 14/04/2010)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10033275 of 14/04/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10033275 of 14/04/2010)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 10033275 of 14/04/2010)
6) Execution of orders on behalf of clients (Notification 10033275 of 14/04/2010)
7) Dealing on own account (Notification 10033275 of 14/04/2010)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10033275 of 14/04/2010)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ETORO (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42nd Floor One Canada Square Canary Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0066424/13 of 02/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3763</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0066424/13 of 02/08/2013)
2) Execution of orders on behalf of clients (Notification 0066424/13 of 02/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0066424/13 of 02/08/2013)
4) Dealing on own account (Notification 0091787/17 of 21/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRY OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUREECA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>69 Old Broad Street, Dashwood House</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0041402/15 of 22/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4169</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0041402/15 of 22/05/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0041402/15 of 22/05/2015)

3) Execution of orders on behalf of clients (Notification 0041402/15 of 22/05/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0041402/15 of 22/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EURIVEX LTD

Registered office: 18 Kyriakou Matsi Avenue, Victory Tower,

City: 1082 - Nicosia

Country: Cipro

Notification of Registration: n. 11065878 of 25/07/2011

Registration no.: 3206

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11065878 of 25/07/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11065878 of 25/07/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11065878 of 25/07/2011)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065878 of 25/07/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROBOND-SALES AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flingerstrasse, 11</td>
</tr>
<tr>
<td>City:</td>
<td>D-40213 - Dusseldorf</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4096241 of 08/11/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1488</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12075681 of 20/09/2012)
2) Execution of orders on behalf of clients (Notification 4096241 of 08/11/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4096241 of 08/11/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROCONSULT INTERNATIONAL MERGERS &amp; ACQUISITIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7067375 of 20/07/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1818</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7067375 of 20/07/2007)
2) Investment advice (Notification 7067375 of 20/07/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7067375 of 20/07/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROMTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Paternoster Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7Is - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99023377 of 26/03/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>769</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 6089403 of 08/11/2006)
2) Operation of an MTF (Notification 7092043 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99023377 of 26/03/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** EURONOVA ASSET MANAGEMENT UK LLP

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>7-9 North St. David Street Midlothian</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Eh2 1aw - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9013910 of 12/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2528</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 9013910 of 12/02/2009)
2) Execution of orders on behalf of clients (Notification 9013910 of 12/02/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9013910 of 12/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROPA PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St. James’ S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1011108 of 14/02/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1098</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 1011108 of 14/02/2001)
2) Placing of financial instruments without a firm commitment basis (Notification 1011108 of 14/02/2001)
3) Investment advice (Notification 1011108 of 14/02/2001)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1011108 of 14/02/2001)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0031227/18 of 08/02/2018)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0031227/18 of 08/02/2018)

3) Placing of financial instruments without a firm commitment basis (Notification 0031227/18 of 08/02/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031227/18 of 08/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROPEAN CAPITAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Sloane Court West</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 4td - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5011675 of 24/02/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1519</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5011675 of 24/02/2005)

2) Investment advice (Notification 5011675 of 24/02/2005)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROPEAN FINANCIAL PLANNING GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Irish Town</td>
</tr>
<tr>
<td>City:</td>
<td>- Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13017819 of 04/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3644</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13017819 of 04/03/2013)
2) Investment advice (Notification 13017819 of 04/03/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13017819 of 04/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROPEAN FUND SERVICES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2, Parc D' Activite Syrdall</td>
</tr>
<tr>
<td>City:</td>
<td>L-5365 - Munsbach</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5062713 of 20/09/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1578</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 5062713 of 20/09/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5062713 of 20/09/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROPEAN VALUE PARTNERS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>534 Rue De Neudorf</td>
</tr>
<tr>
<td>City:</td>
<td>L2220 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9057894 of 22/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2614</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9057894 of 22/06/2009)
2) Portfolio management (Notification 9057894 of 22/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EUROTRADE INVESTMENTS RGB LTD

Registered office: 2 Kimonos Street, Office2, 1st Floor, 3095

City: 3095 - Limassol

Country: Cipro

Notification of Registration: n. 0087291/16 of 18/04/2016

Registration no.: 4476

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0087291/16 of 18/04/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0087291/16 of 18/04/2016)

3) Execution of orders on behalf of clients (Notification 0087291/16 of 18/04/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087291/16 of 18/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUROXX SECURITIES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Palaiologou Str.</td>
</tr>
<tr>
<td>City:</td>
<td>152 32 - Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3034301 of 23/05/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1370</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 3034301 of 23/05/2003)
2) Dealing on own account (Notification 3034301 of 23/05/2003)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3034301 of 23/05/2003)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EUWAX AKTIENGESELLSCHAFT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boersentrasse 4</td>
</tr>
<tr>
<td>City:</td>
<td>70174 - Stoccarda</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0188124/18 of 05/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4836</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0188124/18 of 05/06/2018)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0188124/18 of 05/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EVERCORE ISI INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 St. Mary Axe</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a8fr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075822/14 of 24/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4036</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075822/14 of 24/09/2014)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0075822/14 of 24/09/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0075822/14 of 24/09/2014)
4) Investment advice (Notification 0075822/14 of 24/09/2014)
5) Execution of orders on behalf of clients (Notification 0075822/14 of 24/09/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075822/14 of 24/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EVERCORE PARTNERS INTERNATIONAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Paternoster Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7dx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11076397 of 07/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3246</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11076397 of 07/09/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11076397 of 07/09/2011)
3) Investment advice (Notification 11076397 of 07/09/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076397 of 07/09/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: EVEREST RESEARCH LIMITED

Registered office: 6 Froxmere Close Solihull West

City: B91 3xg - Solihull

Country: Regno Unito

Notification of Registration: n. 0261186/18 of 17/07/2018

Registration no.: 4855

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0261186/18 of 17/07/2018)
2) Investment advice (Notification 0261186/18 of 17/07/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0261186/18 of 17/07/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EVOLUTION MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36-38 Leadenhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 1at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099815 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1989</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0092627/17 of 25/07/2017)
2) Execution of orders on behalf of clients (Notification 7099815 of 09/11/2007)
3) Portfolio management (Notification 7099815 of 09/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099815 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EVOLUTION WEALTH NETWORK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sussex House, North Street</td>
</tr>
<tr>
<td>City:</td>
<td>Rh12 1rq - Horsham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0064627/13 of 29/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3760</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0064627/13 of 29/07/2013)

2) Investment advice (Notification 0064627/13 of 29/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EWM CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Southampton Buildings</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2a 1al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13042755 of 16/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3703</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13042755 of 16/05/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13042755 of 16/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXANE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Rue Mâ©nars</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97086091 of 17/12/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>651</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 97086091 of 17/12/1997)
2) Dealing on own account (Notification 97086091 of 17/12/1997)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 97086091 of 17/12/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXANE DERIVATIVES SNC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Rue Menars</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101609/17 of 24/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4661</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0101609/17 of 24/08/2017)
2) Services related to underwriting (Notification 0101609/17 of 24/08/2017)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0101609/17 of 24/08/2017)
4) Placing of financial instruments without a firm commitment basis (Notification 0101609/17 of 24/08/2017)
5) Investment advice (Notification 0101609/17 of 24/08/2017)
6) Execution of orders on behalf of clients (Notification 0101609/17 of 24/08/2017)
7) Dealing on own account (Notification 0101609/17 of 24/08/2017)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101609/17 of 24/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXANE OPTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Avenue De Matignon</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8075232 of 06/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2380</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 8075232 of 06/08/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8075232 of 06/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EX-ANTE ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Michelin House Suite 117 81 Fulham Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 6rd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105511/19 of 26/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4960</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0105511/19 of 26/02/2019)

2) Investment advice (Notification 0105511/19 of 26/02/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105511/19 of 26/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXCLUSIVE CHANGE CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>84 - 86 Pafou Street</td>
</tr>
<tr>
<td>City:</td>
<td>3052 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0107401/17 of 18/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4678</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0107401/17 of 18/09/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0107401/17 of 18/09/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0107401/17 of 18/09/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0107401/17 of 18/09/2017)

5) Execution of orders on behalf of clients (Notification 0107401/17 of 18/09/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0107401/17 of 18/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
EXELCIUS PRIME LTD

Mattheos Mattheou 5, Agios Athanasios2

4101 - Limassol

Cipro

n. 0163044/19 of 27/03/2019

4996

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0163044/19 of 27/03/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0163044/19 of 27/03/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0163044/19 of 27/03/2019)

4) Execution of orders on behalf of clients (Notification 0163044/19 of 27/03/2019)

5) Portfolio management (Notification 0163044/19 of 27/03/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0163044/19 of 27/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0068137/13 of 08/08/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0068137/13 of 08/08/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0068137/13 of 08/08/2013)

4) Execution of orders on behalf of clients (Notification 0068137/13 of 08/08/2013)

5) Dealing on own account (Notification 0068137/13 of 08/08/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068137/13 of 08/08/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXNESS (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090041/16 of 11/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4485</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0090041/16 of 11/10/2016)  
2) Execution of orders on behalf of clients (Notification 0090041/16 of 11/10/2016)  
3) Dealing on own account (Notification 0090041/16 of 11/10/2016)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090041/16 of 11/10/2016)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXO INVESTING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ropemaker Street Office 926</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9ht - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0324637/18 of 27/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4867</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0324637/18 of 27/08/2018)
2) Investment advice (Notification 0324637/18 of 27/08/2018)
3) Portfolio management (Notification 0324637/18 of 27/08/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0324637/18 of 27/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Operation of an OTF (Notification 0000139/18 of 03/01/2018)</td>
</tr>
<tr>
<td>2) 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 (Notification 0069604/13 of 16/08/2013)</td>
</tr>
<tr>
<td>3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069604/13 of 16/08/2013)</td>
</tr>
<tr>
<td>4) Investment advice (Notification 0069604/13 of 16/08/2013)</td>
</tr>
<tr>
<td>5) Execution of orders on behalf of clients (Notification 0069604/13 of 16/08/2013)</td>
</tr>
<tr>
<td>6) Dealing on own account (Notification 0069604/13 of 16/08/2013)</td>
</tr>
<tr>
<td>7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069604/13 of 16/08/2013)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXPERT TIMING SYSTEMS INTERNATIONAL, EAFI, SL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/Ronda Bugandvilla Del Rey 131</td>
</tr>
<tr>
<td>City:</td>
<td>28023 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11065140 of 22/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3201</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11065140 of 22/07/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11065140 of 22/07/2011)

3) Investment advice (Notification 11065140 of 22/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>EXT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>223, Christodoulou Chadjipavlou Street</td>
</tr>
<tr>
<td>City:</td>
<td>3036 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12076025 of 24/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3511</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 12076025 of 24/09/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12076025 of 24/09/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12076025 of 24/09/2012)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12076025 of 24/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FABAR WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Il Piazzetta A Suite 52 Tower Road</td>
</tr>
<tr>
<td>City:</td>
<td>- Sliema</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099217/19 of 22/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4956</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099217/19 of 22/02/2019)

2) Portfolio management (Notification 0099217/19 of 22/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FACE TO FACE FINANCE (ANGLIA) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Valley Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nr15 1ng - Norfolk</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10054195 of 14/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2883</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10054195 of 14/06/2010)
2) Investment advice (Notification 10054195 of 14/06/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10054195 of 14/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FACTORY AD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>111 Tsarigradsko Shose</td>
</tr>
<tr>
<td>City:</td>
<td>1784 - Sofia</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10052411 of 08/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2876</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 10052411 of 08/06/2010)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10052411 of 08/06/2010)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10052411 of 08/06/2010)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10052411 of 08/06/2010)

5) Services related to underwriting (Notification 10052411 of 08/06/2010)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 10052411 of 08/06/2010)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 10052411 of 08/06/2010)

8) Placing of financial instruments without a firm commitment basis (Notification 10052411 of 08/06/2010)

9) Investment advice (Notification 10052411 of 08/06/2010)

10) Execution of orders on behalf of clients (Notification 10052411 of 08/06/2010)

11) Portfolio management (Notification 10052411 of 08/06/2010)

12) Dealing on own account (Notification 10052411 of 08/06/2010)

13) Reception and transmission of orders in relation to one or more financial instruments (Notification 10052411 of 08/06/2010)
Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FACTUM AG VERMOEGENSVERWALTUNG

Registered office: Zollstrasse 32
City: FI 9490 - Vaduz
Country: Liechtenstein
Notification of Registration: n. 0083645/15 of 28/10/2015
Registration no.: 4253

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0083645/15 of 28/10/2015)
2) Investment advice (Notification 0083645/15 of 28/10/2015)
3) Execution of orders on behalf of clients (Notification 0083645/15 of 28/10/2015)
4) Portfolio management (Notification 0083645/15 of 28/10/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083645/15 of 28/10/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FAIR OAKS CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>67-68 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6ny - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038333/14 of 09/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3958</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0038333/14 of 09/05/2014)
2) Investment advice (Notification 0038333/14 of 09/05/2014)
3) Execution of orders on behalf of clients (Notification 0038333/14 of 09/05/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0038333/14 of 09/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FALCON INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25-27 Healt Street Suite 9</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 6tr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022834/16 of 16/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4342</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0022834/16 of 16/03/2016)
2) Execution of orders on behalf of clients (Notification 0022834/16 of 16/03/2016)
3) Portfolio management (Notification 0022834/16 of 16/03/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022834/16 of 16/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FALCON MONEY MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Great Tower Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 5ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9092400 of 30/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2708</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 9092400 of 30/10/2009)
2) Investment advice (Notification 9092400 of 30/10/2009)
3) Execution of orders on behalf of clients (Notification 9092400 of 30/10/2009)
4) Portfolio management (Notification 9092400 of 30/10/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9092400 of 30/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FALCON PRIVATE WEALTH LIMITED

Registered office: 1st Floor 27 Knightsbridge

City: Sw1x 7ly - Londra

Country: Regno Unito

Notification of Registration: n. 66017 of 07/09/2000

Registration no.: 1044

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 66017 of 07/09/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 66017 of 07/09/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FAME INVESTMENTS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Graben 16</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054044/15 of 06/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4202</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0054044/15 of 06/07/2015)
2) Portfolio management (Notification 0054044/15 of 06/07/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054044/15 of 06/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FARLEY &amp; THOMPSON LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pine Grange, Bath Road Bournemouth</td>
</tr>
<tr>
<td>City:</td>
<td>Bh1 2nu - Dorset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8021350 of 10/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2242</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8021350 of 10/03/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8021350 of 10/03/2008)
3) Investment advice (Notification 8021350 of 10/03/2008)
4) Execution of orders on behalf of clients (Notification 8021350 of 10/03/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8021350 of 10/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8003720 of 15/01/2008)
2) Investment advice (Notification 8003720 of 15/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8003720 of 15/01/2008)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FATHOM WEALTH MANAGEMENT ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 44 Georgiou Griva Digeni Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1096 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0108902/16 of 09/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4520</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 0108902/16 of 09/12/2016)
2. Portfolio management (Notification 0108902/16 of 09/12/2016)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0108902/16 of 09/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0062541/13 of 22/07/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0062541/13 of 22/07/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 0062541/13 of 22/07/2013)

4) Investment advice (Notification 0062541/13 of 22/07/2013)

5) Execution of orders on behalf of clients (Notification 0062541/13 of 22/07/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0062541/13 of 22/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FCMB BANK (UK) LIMITED

Registered office: 81 Gracechurch Street

City: Ec3v 0au - Londra

Country: Regno Unito

Notification of Registration: n. 10006939 of 28/01/2010

Registration no.: 2761

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10006939 of 28/01/2010)
2) Investment advice (Notification 10006939 of 28/01/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10006939 of 28/01/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0018701/18 of 31/01/2018)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0018701/18 of 31/01/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0018701/18 of 31/01/2018)

4) Execution of orders on behalf of clients (Notification 0018701/18 of 31/01/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018701/18 of 31/01/2018)

6) Dealing on own account (Notification 0027897/18 of 05/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FEARNLEY FONDS ASA

Registered office: Grev Wedels Plass, 9

City: N-0107 - Oslo

Country: Norvegia

Notification of Registration: n. 5038632 of 26/05/2005

Registration no.: 1552

SERVICES PROVIDED IN ITALY

1) 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 (Notification 5038632 of 26/05/2005)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5038632 of 26/05/2005)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5038632 of 26/05/2005)

4) Services related to underwriting (Notification 5038632 of 26/05/2005)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 5038632 of 26/05/2005)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 5038632 of 26/05/2005)

7) Placing of financial instruments without a firm commitment basis (Notification 5038632 of 26/05/2005)

8) Investment advice (Notification 5038632 of 26/05/2005)

9) Execution of orders on behalf of clients (Notification 5038632 of 26/05/2005)

10) Dealing on own account (Notification 5038632 of 26/05/2005)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 5038632 of 26/05/2005)
Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FELICITAS MANAGEMENT INVESTMENT SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>105 Grivas Digeni Street</td>
</tr>
<tr>
<td>City:</td>
<td>3101 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12044975 of 28/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3432</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031874/14 of 16/04/2014)
2) Investment advice (Notification 12044975 of 28/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FENCHURCH ADVISORY PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Old Broad Street, Level 32. Tower 42</td>
</tr>
<tr>
<td>City:</td>
<td>Ex2n 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0077822/13 of 02/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3824</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0077822/13 of 02/10/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0077822/13 of 02/10/2013)
3) Investment advice (Notification 0077822/13 of 02/10/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077822/13 of 02/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FENIX CAPITAL MARKETS TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Iapetou 1 Agios Athanasios Industrial Area</td>
</tr>
<tr>
<td>City:</td>
<td>4101 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015110/17 of 01/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4553</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0015110/17 of 01/02/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015110/17 of 01/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FERGHANA PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Berkley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j6he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0013310/15 of 24/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4109</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0013310/15 of 24/02/2015)
2) Investment advice (Notification 0013310/15 of 24/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FERI TRUST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rathausplatz 8-10</td>
</tr>
<tr>
<td>City:</td>
<td>61348 - Bad Homburg</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12006472 of 27/01/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3336</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 12006472 of 27/01/2012)
2) Investment advice (Notification 12006472 of 27/01/2012)
3) Portfolio management (Notification 12006472 of 27/01/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12006472 of 27/01/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FF SIMPLE AND SMART TRADES INVESTMENT SERVICES LTD

Registered office: 62 Athalassas Street Office 21

City: 2012 - Nicosia

Country: Cipro

Notification of Registration: n. 0121671/18 of 23/04/2018

Registration no.: 4812

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0121671/18 of 23/04/2018)

2) Investment advice (Notification 0121671/18 of 23/04/2018)

3) Portfolio management (Notification 0121671/18 of 23/04/2018)

Please make reference to the Supervisory home Authority's website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FFP FRISCHMANN FINANZ-UND PARTNER GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herzog-Friedrich-Strasse 34</td>
</tr>
<tr>
<td>City:</td>
<td>A-6020 - Innsbruck</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6046572 of 24/05/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1754</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6046572 of 24/05/2006)
2) Portfolio management (Notification 6046572 of 24/05/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6046572 of 24/05/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIA ASSET MANAGEMENT S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Rue Schiller</td>
</tr>
<tr>
<td>City:</td>
<td>L-2519 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5082609 of 20/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1611</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5082609 of 20/12/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5082609 of 20/12/2005)
3) Execution of orders on behalf of clients (Notification 7087138 of 28/09/2007)
4) Portfolio management (Notification 7087138 of 28/09/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIBO GROUP HOLDINGS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Agias Zonis, 1st Floor</td>
</tr>
<tr>
<td>City:</td>
<td>3027 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10077771 of 22/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2976</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10077771 of 22/09/2010)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10077771 of 22/09/2010)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 10077771 of 22/09/2010)
4) Execution of orders on behalf of clients (Notification 10077771 of 22/09/2010)
5) Dealing on own account (Notification 10077771 of 22/09/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10077771 of 22/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIDANTE PARTNERS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 6, 1 Tudor Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7076620 of 16/08/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1827</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7076620 of 16/08/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7076620 of 16/08/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Execution of orders on behalf of clients (Notification 9089751 of 21/10/2009)
5) Dealing on own account (Notification 9089751 of 21/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIDEM PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Middleton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nw117ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13003914 of 15/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3603</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13003914 of 15/01/2013)
2) Investment advice (Notification 13003914 of 15/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13003914 of 15/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIDENTIIS EQUITIES SOCIEDAD DE VALORES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Calle Velazquez, 140</td>
</tr>
<tr>
<td>City:</td>
<td>28001 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3082879 of 23/12/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1404</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3082879 of 23/12/2003)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3082879 of 23/12/2003)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIDUCIA CAPITAL GMBH &amp; CO. KG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kirchplatz 1</td>
</tr>
<tr>
<td>City:</td>
<td>82049 - Pullach Im Isartal</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0027805/15 of 13/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4152</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0027805/15 of 13/04/2015)
2) Investment advice (Notification 0040155/15 of 19/05/2015)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0054800/18 of 28/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: FIDUCIA WEALTH MANAGEMENT LIMITED

Registered office: Brook Street Dedham Colchester

City: Co7 6ad - Essex

Country: Regno Unito

Notification of Registration: n. 8064668 of 08/07/2008

Registration no.: 2347

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8064668 of 08/07/2008)
2) Investment advice (Notification 8064668 of 08/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8064668 of 08/07/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIDUCIARY WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Glacis Road</td>
</tr>
<tr>
<td>City:</td>
<td>Pobox475 - Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0052808/14 of 24/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3984</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0052808/14 of 24/06/2014)
2) Investment advice (Notification 0052808/14 of 24/06/2014)
3) Execution of orders on behalf of clients (Notification 0052808/14 of 24/06/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0052808/14 of 24/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: FIDUS INVESTMENT CYPRUS LIMITED

Registered office: 16 Kennedy
City: - Nicosia
Country: Cipro
Notification of Registration: n. 0080516/17 of 20/06/2017
Registration no.: 4621

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0080516/17 of 20/06/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0080516/17 of 20/06/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0080516/17 of 20/06/2017)
4) Execution of orders on behalf of clients (Notification 0080516/17 of 20/06/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0080516/17 of 20/06/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIELDSTONE PRIVATE CAPITAL GROUP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Queen Anne’S Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 9ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13018706 of 06/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3650</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13018706 of 06/03/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13018706 of 06/03/2013)
3) Investment advice (Notification 13018706 of 06/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIERA CAPITAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39 St Jame’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6076299 of 25/09/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1707</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6076299 of 25/09/2006)
2) Execution of orders on behalf of clients (Notification 6076299 of 25/09/2006)
3) Portfolio management (Notification 6076299 of 25/09/2006)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6076299 of 25/09/2006)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FIL INVESTMENTS INTERNATIONAL

Registered office: 130 Tonbridge Road Hildenborough

City: Tn119dz - Tonbridge

Country: Regno Unito

Notification of Registration: n. 7094191 of 01/11/2007

Registration no.: 2075

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7094191 of 01/11/2007)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7094191 of 01/11/2007)

3) Services related to underwriting (Notification 7094191 of 01/11/2007)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7094191 of 01/11/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7094191 of 01/11/2007)

6) Investment advice (Notification 7094191 of 01/11/2007)

7) Execution of orders on behalf of clients (Notification 7094191 of 01/11/2007)

8) Portfolio management (Notification 7094191 of 01/11/2007)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094191 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **FIL (LUXEMBOURG) S.A.**

Registered office: 2a Rue Albert Borschette

City: L-1246 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 11092428 of 15/11/2011

Registration no.: 3295

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0533468/18 of 18/12/2018)
2) Portfolio management (Notification 0533468/18 of 18/12/2018)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11092428 of 15/11/2011)
4) Investment advice (Notification 11092428 of 15/11/2011)
5) Execution of orders on behalf of clients (Notification 11092428 of 15/11/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11092428 of 15/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIL PENSIONS MANAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>130 Tonbridge Road Hildenborough</td>
</tr>
<tr>
<td>City:</td>
<td>Tn119dz - Tonbridge</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99074541 of 13/10/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>941</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7094666 of 01/11/2007)
2) Services related to underwriting (Notification 7094666 of 01/11/2007)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7094666 of 01/11/2007)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 7094666 of 01/11/2007)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 99074541 of 13/10/1999)
7) Investment advice (Notification 99074541 of 13/10/1999)
8) Execution of orders on behalf of clients (Notification 99074541 of 13/10/1999)
9) Portfolio management (Notification 99074541 of 13/10/1999)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 99074541 of 13/10/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINACOR &amp; ASSOCIES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rue Des Colonies 52</td>
</tr>
<tr>
<td>City:</td>
<td>B-1000 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2031456 of 07/05/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1271</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 2031456 of 07/05/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINANCE IN MOTION GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Theodor-Stern Kai 1</td>
</tr>
<tr>
<td>City:</td>
<td>60596 - Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0076200/16 of 22/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4462</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0076200/16 of 22/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINANCIAL &amp; RISK TRANSACTION SERVICES IRELAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12/13 Exchange Place Dublin 1</td>
</tr>
<tr>
<td>City:</td>
<td>D01 P8h1 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195357/19 of 10/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5017</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0195357/19 of 10/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINANCIAL ADVICE AND SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Orchard House, 2 Bouverie Road West</td>
</tr>
<tr>
<td>City:</td>
<td>Ct20 2rx - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7098346 of 05/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1963</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098346 of 05/11/2007)
2) Investment advice (Notification 7098346 of 05/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098346 of 05/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINANCIAL PAGE LTD

Registered office: Garisson Avenue Park Hall

City: Sy114ad - Shropshire

Country: Regno Unito

Notification of Registration: n. 0068791/14 of 18/08/2014

Registration no.: 4017

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068791/14 of 18/08/2014)
2) Investment advice (Notification 0068791/14 of 18/08/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068791/14 of 18/08/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINANCIAL PARTNERS FP LTD

Registered office: Stadtle 28

City: FI-9490 - Vaduz

Country: Liechtenstein

Notification of Registration: n. 12073250 of 11/09/2012

Registration no.: 3505

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12073250 of 11/09/2012)

2) Investment advice (Notification 12073250 of 11/09/2012)

3) Portfolio management (Notification 12073250 of 11/09/2012)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12073250 of 11/09/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINANCIAL RISK MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43/44 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1x 3fe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99070706 of 29/09/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>934</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 99070706 of 29/09/1999)
3) Portfolio management (Notification 99070706 of 29/09/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99070706 of 29/09/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINANCIERE MEESCHAERT

Registered office: 12 Rond- Point Des Champs Elysees

City: 75008 - Parigi

Country: Francia

Notification of Registration: n. 0020093/15 of 20/03/2015

Registration no.: 4131

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0020093/15 of 20/03/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0020093/15 of 20/03/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0020093/15 of 20/03/2015)

4) Placing of financial instruments without a firm commitment basis (Notification 0020093/15 of 20/03/2015)

5) Investment advice (Notification 0020093/15 of 20/03/2015)

6) Portfolio management (Notification 0020093/15 of 20/03/2015)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0020093/15 of 20/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINANZ ADMIN WERTPAPIERDIENSTLEISTUNGEN GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schottenring 33</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6096873 of 06/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1731</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6096873 of 06/12/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6096873 of 06/12/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINAX,O.C.P.,A.S.

Registered office: Bajkalska 19b

City: 82107 - Bratislava

Country: Slovacchia

Notification of Registration: n. 0226712/18 of 28/06/2018

Registration no.: 4846

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0226712/18 of 28/06/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0226712/18 of 28/06/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0226712/18 of 28/06/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0226712/18 of 28/06/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0226712/18 of 28/06/2018)

6) Placing of financial instruments without a firm commitment basis (Notification 0226712/18 of 28/06/2018)

7) Investment advice (Notification 0226712/18 of 28/06/2018)

8) Execution of orders on behalf of clients (Notification 0226712/18 of 28/06/2018)

9) Portfolio management (Notification 0226712/18 of 28/06/2018)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0226712/18 of 28/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINDEAL ADVISERS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7a Rue Thamas Edison</td>
</tr>
<tr>
<td>City:</td>
<td>L-1445 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065424/14 of 05/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4009</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0065424/14 of 05/08/2014)

2) Investment advice (Notification 0065424/14 of 05/08/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065424/14 of 05/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINESCO FINANCIAL SERVICES LIMITED

Registered office: 6 Woodside Crescent Lanarkshire

City: G3 7ul - Glasgow

Country: Regno Unito

Notification of Registration: n. 7101002 of 14/11/2007

Registration no.: 2003

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7101002 of 14/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7101002 of 14/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINEX LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6jj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10010173 of 05/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2773</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10010173 of 05/02/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10010173 of 05/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

Investment firm: FINEX LTD

Registered office: 12 Mihail Tenev Str. Fl. 9

City: 1784 - Sofia

Country: Bulgaria

Notification of Registration: n. 0068125/18 of 13/03/2018

Registration no.: 4858

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0068125/18 of 13/03/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0068125/18 of 13/03/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0068125/18 of 13/03/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068125/18 of 13/03/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0068125/18 of 13/03/2018)

6) Placing of financial instruments without a firm commitment basis (Notification 0068125/18 of 13/03/2018)

7) Investment advice (Notification 0068125/18 of 13/03/2018)

8) Execution of orders on behalf of clients (Notification 0068125/18 of 13/03/2018)

9) Portfolio management (Notification 0068125/18 of 13/03/2018)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068125/18 of 13/03/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINNCAP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Coleman Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 5ta - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7076871 of 17/08/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1838</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7076871 of 17/08/2007)
2) Services related to underwriting (Notification 7076871 of 17/08/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 7076871 of 17/08/2007)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7076871 of 17/08/2007)
5) Placing of financial instruments without a firm commitment basis (Notification 7076871 of 17/08/2007)
6) Investment advice (Notification 7076871 of 17/08/2007)
7) Execution of orders on behalf of clients (Notification 7076871 of 17/08/2007)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 7076871 of 17/08/2007)
9) Dealing on own account (Notification 7080017 of 01/11/2007)
10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINOTEC TRADING UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Holland House 1-4 Bury Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 5aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103446 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2031</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0091783/17 of 21/07/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7103446 of 21/11/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 7103446 of 21/11/2007)
4) Execution of orders on behalf of clients (Notification 7103446 of 21/11/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103446 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0001980/18 of 08/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FINSA EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>46-48 East Smithfield</td>
</tr>
<tr>
<td>City:</td>
<td>E1w 1aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022774/15 of 30/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4140</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0022774/15 of 30/03/2015)
2) Execution of orders on behalf of clients (Notification 0022774/15 of 30/03/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022774/15 of 30/03/2015)
4) Dealing on own account (Notification 0093082/17 of 26/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FINTAILOR INVESTMENTS LTD

Registered office: 249, 28th October Street

City: 3035 - Limassol

Country: Cipro

Notification of Registration: n. 12048130 of 06/06/2012

Registration no.: 3442

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0034649/15 of 04/05/2015)

2) Portfolio management (Notification 0106722/16 of 21/12/2017)

3) 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 (Notification 12048130 of 06/06/2012)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12048130 of 06/06/2012)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 12048130 of 06/06/2012)

6) Execution of orders on behalf of clients (Notification 12048130 of 06/06/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12048130 of 06/06/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST AVENUE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fitzroy House 18-20 Grafton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6097965 of 13/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1734</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6097965 of 13/12/2006)

2) Investment advice (Notification 6097965 of 13/12/2006)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6097965 of 13/12/2006)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FIRST CAPITAL ASSET MANAGERS B.V.

Registered office: Schoolstraat 27

City: 2242 Ke - Wassenaar

Country: Paesi Bassi

Notification of Registration: n. 5039964 of 01/06/2005

Registration no.: 1555

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 5039964 of 01/06/2005)
2) Placing of financial instruments without a firm commitment basis (Notification 5039964 of 01/06/2005)
3) Portfolio management (Notification 5039964 of 01/06/2005)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 5039964 of 01/06/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST CAPITAL CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>77 Fulham Palace Road</td>
</tr>
<tr>
<td>City:</td>
<td>W6 8ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10000450 of 07/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2742</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10000450 of 07/01/2010)
2) Investment advice (Notification 10000450 of 07/01/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10000450 of 07/01/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST CAPITAL MANAGEMENT GROUP GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herzogstrasse 60</td>
</tr>
<tr>
<td>City:</td>
<td>80803 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0835609/19 of 24/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5147</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0835609/19 of 24/12/2019)
2) Portfolio management (Notification 0835609/19 of 24/12/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0835609/19 of 24/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>FIRST EQUITY LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rooms 778-780 Salisbury House London Wal</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 5qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547855/19 of 13/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5078</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0547855/19 of 13/09/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0547855/19 of 13/09/2019)

3) Investment advice (Notification 0547855/19 of 13/09/2019)

4) Execution of orders on behalf of clients (Notification 0547855/19 of 13/09/2019)

5) Portfolio management (Notification 0547855/19 of 13/09/2019)

6) Dealing on own account (Notification 0547855/19 of 13/09/2019)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547855/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST GLOBAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Old Park Lane Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 1qw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7602 of 02/02/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>974</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0105706/17 of 12/09/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Investment advice (Notification 7602 of 02/02/2000)
4) Execution of orders on behalf of clients (Notification 7602 of 02/02/2000)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7602 of 02/02/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST INVESTMENT PARTNERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Thierschplatz 6</td>
</tr>
<tr>
<td>City:</td>
<td>80538 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081475/18 of 26/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4797</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0081475/18 of 26/03/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081475/18 of 26/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021059/16 of 10/03/2016)

2) 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 (Notification 11010865 of 16/02/2011)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11010865 of 16/02/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11010865 of 16/02/2011)

5) Investment advice (Notification 11010865 of 16/02/2011)

6) Portfolio management (Notification 11010865 of 16/02/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010865 of 16/02/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST PRUDENTIAL MARTKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Griva Digeni 109 Aigeo Court</td>
</tr>
<tr>
<td>City:</td>
<td>3101 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0328707/19 of 07/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5035</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0328707/19 of 07/06/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0328707/19 of 07/06/2019)

3) Execution of orders on behalf of clients (Notification 0328707/19 of 07/06/2019)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0328707/19 of 07/06/2019)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0444302/19 of 30/07/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST QUANT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Medienpark Haus I, Unter Den Eichen 5</td>
</tr>
<tr>
<td>City:</td>
<td>65195 - Wiesbaden</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0097969/15 of 29/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4294</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0097969/15 of 29/12/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097969/15 of 29/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST RESERVE INTERNATIONAL LTD</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Victoria Street</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 0ex - Londra</td>
<td></td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
<td></td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9054047 of 09/06/2009</td>
<td></td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2609</td>
<td></td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9054047 of 09/06/2009)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9054047 of 09/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST STATE INVESTMENTS INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 St Andrew Square</td>
</tr>
<tr>
<td>City:</td>
<td>Eh2 1bb - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13006003 of 23/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3610</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13006003 of 23/01/2013)
2) Execution of orders on behalf of clients (Notification 13006003 of 23/01/2013)
3) Portfolio management (Notification 13006003 of 23/01/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13006003 of 23/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRST TRUST GLOBAL PORTFOLIOS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Angel Court,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0591899/19 of 01/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5088</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0591899/19 of 01/10/2019)
2) Portfolio management (Notification 0591899/19 of 01/10/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0591899/19 of 01/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FIRSTENERGY CAPITAL LLP

Registered office: 85 London Wall

City: Ec2m 7ad - Londra

Country: Regno Unito

Notification of Registration: n. 10041729 of 07/05/2010

Registration no.: 2852

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10041729 of 07/05/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10041729 of 07/05/2010)

3) Services related to underwriting (Notification 10041729 of 07/05/2010)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 10041729 of 07/05/2010)

5) Placing of financial instruments without a firm commitment basis (Notification 10041729 of 07/05/2010)

6) Investment advice (Notification 10041729 of 07/05/2010)

7) Execution of orders on behalf of clients (Notification 10041729 of 07/05/2010)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10041729 of 07/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRSTPOINT EQUITY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5by - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5100</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIRSTRAND UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor, 21 Upper Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1y 1pd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98007305 of 03/02/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>682</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6067357 of 07/08/2006)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Services related to underwriting (Notification 98007305 of 03/02/1998)
4) Investment advice (Notification 98007305 of 03/02/1998)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98007305 of 03/02/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIS GLOBAL EXECUTION SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005216 of 21/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2185</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 8005216 of 21/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FISCHER PARTNERS FONDKOMMISSION AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Norlandsgatan 15 S/111 43</td>
</tr>
<tr>
<td>City:</td>
<td>- Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96023274 of 18/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>563</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 96023274 of 18/03/1996)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96023274 of 18/03/1996)
3) Investment advice (Notification 96023274 of 18/03/1996)
4) Execution of orders on behalf of clients (Notification 96023274 of 18/03/1996)
5) Dealing on own account (Notification 96023274 of 18/03/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96023274 of 18/03/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FISHER INVESTMENTS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6-10 Whitfield Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1t2re - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068142 of 01/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3215</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11068142 of 01/08/2011)  
2) Portfolio management (Notification 11068142 of 01/08/2011)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11068142 of 01/08/2011)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FISHER INVESTMENTS IRELAND LIMITED

Registered office: 3 George'S Dock Dublin 1

City: D01x5xo - Dublino

Country: Irlanda

Notification of Registration: n. 0158223/19 of 25/03/2019

Registration no.: 4991

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0158223/19 of 25/03/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0158223/19 of 25/03/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0158223/19 of 25/03/2019)

4) Investment advice (Notification 0158223/19 of 25/03/2019)

5) Portfolio management (Notification 0158223/19 of 25/03/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0158223/19 of 25/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FISHER INVESTMENTS LUXEMBOURG SARL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>K2 Building, Forte 1, 2a Rue Albert Borschette</td>
</tr>
<tr>
<td>City:</td>
<td>L1246 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0605440/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5092</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0605440/19 of 07/10/2019)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0605440/19 of 07/10/2019)
3) Investment advice (Notification 0605440/19 of 07/10/2019)
4) Portfolio management (Notification 0605440/19 of 07/10/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0605440/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
FISKE PLC

Salisbury House, London Wall

Ec2m 5qs - Londra

Regno Unito

n. 96000620 of 03/01/1996

120

1) Services related to underwriting (Notification 7083818 of 18/09/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7083818 of 18/09/2007)
3) Portfolio management (Notification 7083818 of 18/09/2007)
4) Dealing on own account (Notification 7083818 of 18/09/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7083818 of 18/09/2007)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7083818 of 01/11/2007)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
8) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
9) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
10) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
11) Investment advice (Notification 96000620 of 03/01/1996)
12) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
13) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FITZALLAN LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>98 West George Street, Lanarkshire</td>
</tr>
<tr>
<td>City:</td>
<td>G2 1pj - Glasgow</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005226 of 21/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2184</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8005226 of 21/01/2008)
2) Investment advice (Notification 8005226 of 21/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8005226 of 21/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIX CITY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8056817 of 16/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2324</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 8056817 of 16/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FIXI PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>108 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7046231 of 22/05/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1792</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0015954/14 of 27/02/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7046231 of 22/05/2007)
3) Dealing on own account (Notification 7046231 of 22/05/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7046231 of 22/05/2007)
5) Execution of orders on behalf of clients (Notification 7048988 of 29/05/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FLEXAGON CAPITAL SOLUTIONS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>96 Kensington High Street</td>
</tr>
<tr>
<td>City:</td>
<td>W84sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096139/15 of 21/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4286</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0096139/15 of 21/12/2015)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0096139/15 of 21/12/2015)
3) Services related to underwriting (Notification 0096139/15 of 21/12/2015)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0096139/15 of 21/12/2015)
5) Investment advice (Notification 0096139/15 of 21/12/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096139/15 of 21/12/2015)
7) Execution of orders on behalf of clients (Notification 0372099/18 of 26/09/2018)
8) Portfolio management (Notification 0372099/18 of 26/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FLOREAT MERCHANT BANKING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059499/13 of 10/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3746</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0059499/13 of 10/07/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059499/13 of 10/07/2013)
3) Investment advice (Notification 0059499/13 of 10/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FLOW TRADERS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Jacob Bontiusplaats 9</td>
</tr>
<tr>
<td>City:</td>
<td>1018II - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6086082 of 28/10/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1725</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 6086082 of 28/10/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FMO INVESTMENT MANAGEMENT B.V.

Registered office: Anna Van Saskenlaan 71

City: 2593 Hw - Den Haag

Country: Paesi Bassi

Notification of Registration: n. 0097489/15 of 24/12/2015

Registration no.: 4293

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0097489/15 of 24/12/2015)
2) Portfolio management (Notification 0097489/15 of 24/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097489/15 of 24/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FMS WERTMANAGEMENT SERVICE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Freisinger Strasse 11</td>
</tr>
<tr>
<td>City:</td>
<td>85716 - Unterschleissheim</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011566/15 of 17/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4104</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0011566/15 of 17/02/2015)
2) Execution of orders on behalf of clients (Notification 0011566/15 of 17/02/2015)
3) Portfolio management (Notification 0011566/15 of 17/02/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011566/15 of 17/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FOGWILL & JONES ASSET MANAGEMENT LTD

Registered office: Business Park Woodseats Close South Yorkshire

City: S8 0tb - Sheffield

Country: Regno Unito

Notification of Registration: n. 7100660 of 13/11/2007

Registration no.: 1985

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7100660 of 13/11/2007)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7100660 of 13/11/2007)

3) Investment advice (Notification 7100660 of 13/11/2007)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7100660 of 13/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOREIGN CURRENCY INNOVATIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>117 High Street</td>
</tr>
<tr>
<td>City:</td>
<td>Cm12 9aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0027709/15 of 13/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4151</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0027709/15 of 13/04/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0027709/15 of 13/04/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0027709/15 of 13/04/2015)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0027709/15 of 13/04/2015)

5) Execution of orders on behalf of clients (Notification 0027709/15 of 13/04/2015)

6) Dealing on own account (Notification 0027709/15 of 13/04/2015)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0027709/15 of 13/04/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOREST PARK FX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>139 Parkanaur Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ss1 3jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0050675/17 of 19/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4594</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050675/17 of 19/04/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOREX CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec27je - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4075963 of 17/08/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1464</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0072759/13 of 04/09/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072759/13 of 04/09/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0072759/13 of 04/09/2013)

4) Investment advice (Notification 0072759/13 of 04/09/2013)

5) Portfolio management (Notification 0072759/13 of 04/09/2013)

6) Dealing on own account (Notification 0072759/13 of 04/09/2013)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072759/13 of 04/09/2013)

8) Execution of orders on behalf of clients (Notification 4075963 of 17/08/2004)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **FOREX TB LTD**

| Registered office: | 5, Alkaiou Street, Pelekanos Court No 16, |
| City:              | 2404 - Nicosia |
| Country:           | Cipro |
| Notification of Registration: | n. 0097048/15 of 23/12/2015 |
| Registration no.:  | 4292 |

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0097048/15 of 23/12/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0097048/15 of 23/12/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0097048/15 of 23/12/2015)

4) Execution of orders on behalf of clients (Notification 0097048/15 of 23/12/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097048/15 of 23/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** FOREXMAX LTD  

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Spekes Road</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Me7 3rs - Gillingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6047648 of 26/05/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1657</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6047648 of 26/05/2006)  
2) Investment advice (Notification 6047648 of 26/05/2006)  
3) Portfolio management (Notification 6047648 of 26/05/2006)  
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FOREXTIME LTD

Registered office: 35, Lamprou Konstantara Street,

City: 4156 - Limassol

Country: Cipro

Notification of Registration: n. 13030362 of 10/04/2013

Registration no.: 3674

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0092634/17 of 25/07/2017)
2) 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 (Notification 13030362 of 10/04/2013)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13030362 of 10/04/2013)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13030362 of 10/04/2013)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 13030362 of 10/04/2013)
6) Execution of orders on behalf of clients (Notification 13030362 of 10/04/2013)
7) Portfolio management (Notification 13030362 of 10/04/2013)
8) Dealing on own account (Notification 13030362 of 10/04/2013)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 13030362 of 10/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOREXTIME UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v79r - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of</td>
<td>n. 0102295/18 of 09/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4803</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0102295/18 of 09/04/2018)
2) Execution of orders on behalf of clients (Notification 0102295/18 of 09/04/2018)
3) Dealing on own account (Notification 0102295/18 of 09/04/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102295/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORMAX PRIME CAPITAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Landsdowne Building, 2 Landsdowne Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cr9 2er - Croydon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022790/15 of 30/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4144</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0022790/15 of 30/03/2015)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0022790/15 of 30/03/2015)

3) Placing of financial instruments without a firm commitment basis (Notification 0022790/15 of 30/03/2015)

4) Execution of orders on behalf of clients (Notification 0022790/15 of 30/03/2015)

5) Dealing on own account (Notification 0022790/15 of 30/03/2015)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022790/15 of 30/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORSA PORTFOLIOMANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kreuzberger Ring 15</td>
</tr>
<tr>
<td>City:</td>
<td>65205 - Wiesbaden</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12069565 of 23/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3499</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 12069565 of 23/08/2012)
2) Execution of orders on behalf of clients (Notification 12069565 of 23/08/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12069565 of 23/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** FORT CAPITAL SOLUTIONS LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>80 Coleman Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2r 5bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0019513/16 of 04/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4335</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0019513/16 of 04/03/2016)
2) Dealing on own account (Notification 0019513/16 of 04/03/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019513/16 of 04/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORTE SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Golden House, 30 Great Pulteney Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 9nn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9050513 of 28/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2601</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093797/17 of 27/07/2017)
2) Operation of an OTF (Notification 0140392/17 of 03/01/2018)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9050513 of 28/05/2009)
4) Placing of financial instruments without a firm commitment basis (Notification 9050513 of 28/05/2009)
5) Investment advice (Notification 9050513 of 28/05/2009)
6) Execution of orders on behalf of clients (Notification 9050513 of 28/05/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9050513 of 28/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORTEM CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>121 Gloucester Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6jy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0495485/19 of 22/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5066</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0495485/19 of 22/08/2019)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0495485/19 of 22/08/2019)
3) Investment advice (Notification 0495485/19 of 22/08/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495485/19 of 22/08/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** FORTH CAPITAL ADVISERS LIMITED  
**Registered office:** Berkeley Suite 35 Berkeley Square  
**City:** W1j 5bf - Londra  
**Country:** Regno Unito  
**Notification of Registration:** n. 0444317/19 of 30/07/2019  
**Registration no.:** 5059

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0444317/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FORTIS INVESTMENT MANAGEMENT S.A.

Registered office: 14, Avenue De L'Astronomie

City: 1210 - Bruxelles

Country: Belgio

Notification of Registration: n. 98066948 of 17/08/1998

Registration no.: 722

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2057054 of 12/08/2002)
2) Investment advice (Notification 98066948 of 17/08/1998)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 98066948 of 17/08/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>SERVICES PROVIDED IN ITALY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Portfolio management (Notification 99083911 of 12/11/1999)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

### Date: 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORTRADE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Michelin House, 81 Fulham Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 6rd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043110/14 of 23/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3963</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Execution of orders on behalf of clients (Notification 0043110/14 of 23/05/2014)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0043110/14 of 23/05/2014)
3. Dealing on own account (Notification 0091788/17 of 21/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORTRESS PLACEMENT SERVICES (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61a Edith Road</td>
</tr>
<tr>
<td>City:</td>
<td>W14 0th - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088529/14 of 11/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4058</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0088529/14 of 11/11/2014)
2) Investment advice (Notification 0088529/14 of 11/11/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088529/14 of 11/11/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FORUM CAPITAL INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31a St James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4jr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98013929 of 25/02/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>690</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 98013929 of 25/02/1998)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 98013929 of 25/02/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOUNDATION FUNDRAISING SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Broxup Barn Barret Hill Brow</td>
</tr>
<tr>
<td>City:</td>
<td>Bb74pf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074339/18 of 19/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4786</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0074339/18 of 19/03/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074339/18 of 19/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FOXBERRY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Archery Steps</td>
</tr>
<tr>
<td>City:</td>
<td>W2 2yf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065196/15 of 10/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4219</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0065196/15 of 10/08/2015)
2) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 0065196/15 of 10/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FP ASSET MANAGEMENT CYPRUS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>58, Leontiou Machera Street, 3rd Floor Djc House</td>
</tr>
<tr>
<td>City:</td>
<td>3025 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021959/17 of 16/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4561</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0021959/17 of 16/02/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021959/17 of 16/02/2017)
3) Investment advice (Notification 0021959/17 of 16/02/2017)
4) Portfolio management (Notification 0021959/17 of 16/02/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FPP ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12035037 of 30/04/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3410</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12035037 of 30/04/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12035037 of 30/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVESTMENT FIRM: FRANK INVESTMENTS LIMITED

Registered office: Lansdowne House 57 Berkeley Square
City: W1ja6ab - Surrey
Country: Regno Unito
Notification of Registration: n. 0111238/16 of 16/12/2016
Registration no.: 4523

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0111238/16 of 16/12/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0111238/16 of 16/12/2016)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0111238/16 of 16/12/2016)
4) Investment advice (Notification 0111238/16 of 16/12/2016)
5) Execution of orders on behalf of clients (Notification 0111238/16 of 16/12/2016)
6) Portfolio management (Notification 0111238/16 of 16/12/2016)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0111238/16 of 16/12/2016)
8) Placing of financial instruments without a firm commitment basis (Notification 0341950/18 of 06/09/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FRANKLIN TEMPLETON FUND MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Toronto Square Infirmary Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ls1 2hj - Leeds</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0319053/18 of 22/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4866</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0319053/18 of 22/08/2018)
2) Execution of orders on behalf of clients (Notification 0319053/18 of 22/08/2018)
3) Portfolio management (Notification 0319053/18 of 22/08/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0319053/18 of 22/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FRANKLIN TEMPLETON INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>78 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6hl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98048241 of 10/06/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>707</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 98048241 of 10/06/1998)
3) Execution of orders on behalf of clients (Notification 98048241 of 10/06/1998)
4) Portfolio management (Notification 98048241 of 10/06/1998)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98048241 of 10/06/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>FRANX B.V.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Hogehilweg 5</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>L1101ca - Amsterdam</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0433953/18 of 29/10/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4889</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0433953/18 of 29/10/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0433953/18 of 29/10/2018)

3) Execution of orders on behalf of clients (Notification 0433953/18 of 29/10/2018)

4) Dealing on own account (Notification 0433953/18 of 29/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FRASER FINANCE LIMITED

Registered office: 33 St. James’ S Square

City: Sw1y 4js - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 172

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

2) Services related to underwriting (Notification 96000620 of 03/01/1996)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FREEDOM FINANCE CYPRUS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15, Aglantzias, 1st Floor, Office 101</td>
</tr>
<tr>
<td>City:</td>
<td>Cy-2108 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079779/18 of 23/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4792</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0079779/18 of 23/03/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0079779/18 of 23/03/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0079779/18 of 23/03/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0079779/18 of 23/03/2018)

5) Investment advice (Notification 0079779/18 of 23/03/2018)

6) Execution of orders on behalf of clients (Notification 0079779/18 of 23/03/2018)

7) Dealing on own account (Notification 0079779/18 of 23/03/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0079779/18 of 23/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVESTMENT FIRM:
FREETRADE LIMITED

Registered office: 77 Shaftsebury Avenue
City: W1d5du - Londra
Country: Regno Unito
Notification of Registration: n. 0079783/18 of 23/03/2018
Registration no.: 4794

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0079783/18 of 23/03/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0079783/18 of 23/03/2018)

3) Execution of orders on behalf of clients (Notification 0079783/18 of 23/03/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0079783/18 of 23/03/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 7099145 of 07/11/2007)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 7099145 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
FRENSHAM WEALTH LIMITED

23 Shepherds Way

Wd3 7nn - Rickmansworth

Regno Unito

n. 9094756 of 09/11/2009

2721

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9094756 of 09/11/2009)

2) Investment advice (Notification 9094756 of 09/11/2009)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9094756 of 09/11/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FROG CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1a Birkenhead Street,</td>
</tr>
<tr>
<td>City:</td>
<td>WC1H8BA - London</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12095803 of 10/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3570</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12095803 of 10/12/2012)
2. Investment advice (Notification 12095803 of 10/12/2012)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 12095803 of 10/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FROGMORE REAL ESTATE PARTNERS FUND MANAGERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11/15 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1a 2jz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10009098 of 02/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2768</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10009098 of 02/02/2010)
2) Execution of orders on behalf of clients (Notification 10009098 of 02/02/2010)
3) Portfolio management (Notification 10009098 of 02/02/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10009098 of 02/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FRS FINANCIAL SERVICES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Stiegstrasse 12</td>
</tr>
<tr>
<td>City:</td>
<td>6830 - Rankweil</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99025366 of 02/04/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>772</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 99025366 of 02/04/1999)
2) Portfolio management (Notification 99025366 of 02/04/1999)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99025366 of 02/04/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12068790 of 20/08/2012)
2) Investment advice (Notification 12068790 of 20/08/2012)
3) Portfolio management (Notification 12068790 of 20/08/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12068790 of 20/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FS FIRST SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45-55 Commercial Street</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6 Lt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0027711/15 of 13/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4150</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0027711/15 of 13/04/2015)
2) Investment advice (Notification 0027711/15 of 13/04/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0027711/15 of 13/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FTC CAPITAL GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schottenring 12</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8070811 of 28/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2377</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8070811 of 28/07/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8070811 of 28/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FTI FINANCE LTD

Registered office: 3 Harbourmaster Place - Ifsc

City: Dublin 1 - Dublino

Country: Irlanda

Notification of Registration: n. 9054792 of 11/06/2009

Registration no.: 2611

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9054792 of 11/06/2009)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9054792 of 11/06/2009)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9054792 of 11/06/2009)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 9054792 of 11/06/2009)

5) Investment advice (Notification 9054792 of 11/06/2009)

6) Execution of orders on behalf of clients (Notification 9054792 of 11/06/2009)

7) Portfolio management (Notification 9054792 of 11/06/2009)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9054792 of 11/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FTI FINANCIAL SERVICES LTD

Registered office: 1 Poultry

City: Ec2r 8jr - Londra

Country: Regno Unito

Notification of Registration: n. 5048912 of 11/07/2005

Registration no.: 1565

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5048912 of 11/07/2005)

2) Investment advice (Notification 5048912 of 11/07/2005)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5048912 of 11/07/2005)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUCHS &amp; ASSOCIES FINANCE S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>47 Boulevard Price Henri</td>
</tr>
<tr>
<td>City:</td>
<td>L1724 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0051481/15 of 25/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4198</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0051481/15 of 25/06/2015)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0051481/15 of 25/06/2015)
3) Services related to underwriting (Notification 0051481/15 of 25/06/2015)
4) Investment advice (Notification 0051481/15 of 25/06/2015)
5) Execution of orders on behalf of clients (Notification 0051481/15 of 25/06/2015)
6) Portfolio management (Notification 0051481/15 of 25/06/2015)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051481/15 of 25/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>FULCRUM PRIVATE CLIENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Bressenden Place London</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5by - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0076044/17 of 08/06/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4615</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0076044/17 of 08/06/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0076044/17 of 08/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FULL CIRCLE ASSET MANAGEMENT LIMITED

Registered office: 120-122 High Street, Orpington

City: Br6 0js - Kent

Country: Regno Unito

Notification of Registration: n. 9021849 of 11/03/2009

Registration no.: 2540

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9021849 of 11/03/2009)
2) Investment advice (Notification 9021849 of 11/03/2009)
3) Portfolio management (Notification 9021849 of 11/03/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9021849 of 11/03/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FULLERTON FM EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y9ht · Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0034621/15 of 04/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4158</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0034621/15 of 04/05/2015)
2) Investment advice (Notification 0034621/15 of 04/05/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0034621/15 of 04/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FUND ANALYTICS INVESTMENT MANAGEMENT LLP

Registered office: 12 Wavel Mews

City: Nw63ab - Londra

Country: Regno Unito

Notification of Registration: n. 0093783/17 of 27/07/2017

Registration no.: 4642

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093783/17 of 27/07/2017)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0093783/17 of 27/07/2017)

3) Investment advice (Notification 0093783/17 of 27/07/2017)

4) Execution of orders on behalf of clients (Notification 0093783/17 of 27/07/2017)

5) Portfolio management (Notification 0093783/17 of 27/07/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093783/17 of 27/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUND CHANNEL S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5, Alle'E Scheffer</td>
</tr>
<tr>
<td>City:</td>
<td>L-2520 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9018328 of 27/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2538</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 9018328 of 27/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUND SCOUTING &amp; ADVISORY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>259 St. Paul Street</td>
</tr>
<tr>
<td>City:</td>
<td>Vlt 1213 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0132846/19 of 11/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4971</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0132846/19 of 11/03/2019)
2) Investment advice (Notification 0132846/19 of 11/03/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0132846/19 of 11/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUNDQUEST ADVISOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Boulevard Haussmann</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0056692/13 of 01/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3736</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0056692/13 of 01/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUSION ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Queen Anne’S Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 9bu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11016021 of 02/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3095</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11016021 of 02/03/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11016021 of 02/03/2011)
3) Investment advice (Notification 11016021 of 02/03/2011)
4) Execution of orders on behalf of clients (Notification 11016021 of 02/03/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11016021 of 02/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUTURE VALUE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11060964 of 06/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3194</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11060964 of 06/07/2011)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11060964 of 06/07/2011)
3) Investment advice (Notification 11060964 of 06/07/2011)
4) Execution of orders on behalf of clients (Notification 11060964 of 06/07/2011)
5) Portfolio management (Notification 11060964 of 06/07/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11060964 of 06/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FUTURESTECHS.COM LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>193-195 Leigh Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ss91 Je - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084679/13 of 25/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3836</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084679/13 of 25/10/2013)

2) Investment advice (Notification 0084679/13 of 25/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FWU INVEST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Handelskai 92, Gate 2,4.Og</td>
</tr>
<tr>
<td>City:</td>
<td>1200 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7033728 of 17/04/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1789</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7033728 of 17/04/2007)
2) Portfolio management (Notification 7033728 of 17/04/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7033728 of 17/04/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)  

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FX CENTRAL CLEARING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2, Samou Street -</td>
</tr>
<tr>
<td>City:</td>
<td>4043 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11027016 of 01/04/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3120</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0029411/15 of 17/04/2015)
2) 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 (Notification 11027016 of 01/04/2011)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11027016 of 01/04/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11027016 of 01/04/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11027016 of 01/04/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FX STAT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Lakeside Drive Park Royal</td>
</tr>
<tr>
<td>City:</td>
<td>Nw107fq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11096765 of 05/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3312</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0092730/15 of 03/12/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11096765 of 05/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FXBFI BROKER FINANCIAL INVEST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Arch. Kyprianou &amp; Agiou Andreou Corner</td>
</tr>
<tr>
<td>City:</td>
<td>3036 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0047839/18 of 22/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4774</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0047839/18 of 22/02/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0047839/18 of 22/02/2018)

3) Execution of orders on behalf of clients (Notification 0047839/18 of 22/02/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0047839/18 of 22/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FXDD MALTA LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Valletta Waterfront</td>
</tr>
<tr>
<td>City:</td>
<td>Vlt 16 - Floriana</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10040058 of 04/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2846</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0140337/17 of 28/12/2017)  
2) Dealing on own account (Notification 10040058 of 04/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FXGLOBE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61 Omirou Street</td>
</tr>
<tr>
<td>City:</td>
<td>3091 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096894/13 of 17/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3879</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0015518/15 of 03/03/2015)

2) Execution of orders on behalf of clients (Notification 0015518/15 of 03/03/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0096894/13 of 17/12/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096894/13 of 17/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: FXNET LTD

Registered office: 4 Harmony House

City: 3030 - Limassol

Country: Cipro

Notification of Registration: n. 12098833 of 20/12/2012

Registration no.: 3585

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0556634/19 of 17/09/2019)
2) Portfolio management (Notification 0556634/19 of 17/09/2019)
3) Dealing on own account (Notification 0556634/19 of 17/09/2019)
4) 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 (Notification 12098833 of 20/12/2012)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12098833 of 20/12/2012)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12098833 of 20/12/2012)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 12098833 of 20/12/2012)
8) Execution of orders on behalf of clients (Notification 12098833 of 20/12/2012)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 12098833 of 20/12/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **FXOPEN LTD**

Registered office: 30 Crown Place

City: Ec2a 4eb - Londra

Country: Regno Unito

Notification of Registration: n. 13038750 of 07/05/2013

Registration no.: 3698

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13038750 of 07/05/2013)

2) Execution of orders on behalf of clients (Notification 13038750 of 07/05/2013)

3) Dealing on own account (Notification 13038750 of 07/05/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13038750 of 07/05/2013)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13041181 of 14/05/2013)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 13041181 of 14/05/2013)

7) Placing of financial instruments without a firm commitment basis (Notification 13041181 of 14/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>FXPRO FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Karyatidon</td>
</tr>
<tr>
<td>City:</td>
<td>4180 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7111455 of 21/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2142</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Execution of orders on behalf of clients (Notification 10103663 of 22/12/2010)
2. Dealing on own account (Notification 10103663 of 22/12/2010)
3. Foreign exchange services where these are connected to the provision of investment services (Notification 7111455 of 21/12/2007)
4. Investment advice (Notification 7111455 of 21/12/2007)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 7111455 of 21/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: FXPRO UK LIMITED

Registered office: 13-14 Basinghall Street

City: Ec2v 5bq - Londra

Country: Regno Unito

Notification of Registration: n. 12042469 of 21/05/2012

Registration no.: 3429

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 12042469 of 21/05/2012)
2) Execution of orders on behalf of clients (Notification 12042469 of 21/05/2012)
3) Dealing on own account (Notification 12042469 of 21/05/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12042469 of 21/05/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
F1MARKETS LTD

43, Kolonakiou Avenue,

4103 - Limassol

Cipro

n. 0034351/16 of 18/04/2016

4428

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0034351/16 of 18/04/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0034351/16 of 18/04/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0034351/16 of 18/04/2016)

4) Execution of orders on behalf of clients (Notification 0034351/16 of 18/04/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0034351/16 of 18/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: G H FINANCIALS LTD

Registered office: 68 Upper Thames Street - Vintners Place

City: Ec4v 3bj - Londra

Country: Regno Unito

Notification of Registration: n. 54835 of 18/07/2000

Registration no.: 1036

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0023898/14 of 27/03/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0023898/14 of 27/03/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0023898/14 of 27/03/2014)

4) 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 (Notification 54835 of 18/07/2000)

5) Execution of orders on behalf of clients (Notification 54835 of 18/07/2000)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 54835 of 18/07/2000)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GABELLI SECURITIES INTERNATIONAL UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-6 Cork Street,</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13011154 of 11/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3630</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13011154 of 11/02/2013)
2) Investment advice (Notification 13011154 of 11/02/2013)
3) Execution of orders on behalf of clients (Notification 13011154 of 11/02/2013)
4) Portfolio management (Notification 13011154 of 11/02/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13011154 of 11/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>GADD &amp; CIE S.A.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>4 Rue De L'Eau</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>L1449 - Lussemburgo</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Lussemburgo</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 9102992 of 14/12/2009</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2736</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 9102992 of 14/12/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAIN CAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Park House 16 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>72</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 5070474 of 25/10/2005)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7093068 of 17/10/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7093068 of 17/10/2007)
4) Dealing on own account (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAIR LOCH ENTERPRISES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Leadenhall Building Leadenhall Street 122</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 4ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547758/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4921</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0547758/18 of 27/12/2018)
2) Dealing on own account (Notification 0547758/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7103449 of 21/11/2007)  
2) Investment advice (Notification 7103449 of 21/11/2007)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103449 of 21/11/2007)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GALLAGHER RISK &amp; REWARD LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St Mark’s Court, Chart Way,</td>
</tr>
<tr>
<td>City:</td>
<td>Rh121rz - Horsham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049483/14 of 12/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3977</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0049483/14 of 12/06/2014)
2) Investment advice (Notification 0049483/14 of 12/06/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049483/14 of 12/06/2014)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAM INTERNATIONAL MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 King St, London,</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6qy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0053734/16 of 09/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4402</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0053734/16 of 09/06/2016)
2) Investment advice (Notification 0053734/16 of 09/06/2016)
3) Execution of orders on behalf of clients (Notification 0053734/16 of 09/06/2016)
4) Portfolio management (Notification 0053734/16 of 09/06/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053734/16 of 09/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAM LONDON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 St James’S Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98056660 of 08/07/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>715</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 98056660 of 08/07/1998)
3) Execution of orders on behalf of clients (Notification 98056660 of 08/07/1998)
4) Portfolio management (Notification 98056660 of 08/07/1998)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98056660 of 08/07/1998)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAMAX AUSTRIA GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rainerstrasse, 7</td>
</tr>
<tr>
<td>City:</td>
<td>A-5020 - Salisburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2081308 of 11/12/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1331</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2081308 of 11/12/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2081308 of 11/12/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GAMCO ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-6 Cork Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11073993 of 29/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3239</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11073993 of 29/08/2011)
2) Investment advice (Notification 11073993 of 29/08/2011)
3) Execution of orders on behalf of clients (Notification 11073993 of 29/08/2011)
4) Portfolio management (Notification 11073993 of 29/08/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11073993 of 29/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>GARDENA CAPITAL LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>81 Wimpole Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1g 9re - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0093497/15 of 09/12/2015</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4274</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

- 1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093497/15 of 09/12/2015)
- 2) Services related to underwriting (Notification 0093497/15 of 09/12/2015)
- 3) Foreign exchange services where these are connected to the provision of investment services (Notification 0093497/15 of 09/12/2015)
- 4) Investment advice (Notification 0093497/15 of 09/12/2015)
- 5) Execution of orders on behalf of clients (Notification 0093497/15 of 09/12/2015)
- 6) Portfolio management (Notification 0093497/15 of 09/12/2015)
- 7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093497/15 of 09/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GATE ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Campden House Close</td>
</tr>
<tr>
<td>City:</td>
<td>W8 7nu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2061740 of 16/09/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1301</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2061740 of 16/09/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2061740 of 16/09/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **GATE CAPITAL GROUP LTD**

Registered office: 1 Tudor Street

City: Ec4y 0ah - Londra

Country: Regno Unito

Notification of Registration: n. 0077823/15 of 07/10/2015

Registration no.: 4241

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0077823/15 of 07/10/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0077823/15 of 07/10/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0077823/15 of 07/10/2015)

4) Investment advice (Notification 0077823/15 of 07/10/2015)

5) Execution of orders on behalf of clients (Notification 0077823/15 of 07/10/2015)

6) Portfolio management (Notification 0077823/15 of 07/10/2015)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077823/15 of 07/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GBE BROKERS LTD

Registered office: 60 Panioti Avenue, Green Area

City: 4044 - Limassol

Country: Cipro

Notification of Registration: n. 0073221/15 of 21/09/2015

Registration no.: 4235

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0073221/15 of 21/09/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0073221/15 of 21/09/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0073221/15 of 21/09/2015)

4) Execution of orders on behalf of clients (Notification 0073221/15 of 21/09/2015)

5) Dealing on own account (Notification 0073221/15 of 21/09/2015)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073221/15 of 21/09/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GBIM LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Brown Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sp1 2as - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090042/16 of 11/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4484</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0090042/16 of 11/10/2016)
2) Execution of orders on behalf of clients (Notification 0090042/16 of 11/10/2016)
3) Portfolio management (Notification 0090042/16 of 11/10/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090042/16 of 11/10/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GBR FINANCIAL SERVICES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boersegasse, 12</td>
</tr>
<tr>
<td>City:</td>
<td>A-1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8056814 of 16/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2325</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8056814 of 16/06/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8056814 of 16/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GC EXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>68 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0342557/19 of 13/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5039</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0342557/19 of 13/06/2019)
2) Dealing on own account (Notification 0342557/19 of 13/06/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0342557/19 of 13/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GCM PRIME LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>75 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7be - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12073240 of 11/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3503</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0092651/17 of 25/07/2017)
2) Execution of orders on behalf of clients (Notification 12073240 of 11/09/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12073240 of 11/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTREROF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>135</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1064767 of 23/08/2001)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GEAR INVESTMENTS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4/4a Bloomsbury Square,</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1a 2rp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0000136/17 of 02/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4534</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0000136/17 of 02/01/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0000136/17 of 02/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GEMINI INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Paul Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10004779 of 22/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2758</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10004779 of 22/01/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GENERAL ATLANTIC (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1a 2et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13038069 of 03/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3694</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13038069 of 03/05/2013)

2) Investment advice (Notification 13038069 of 03/05/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13038069 of 03/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GENERAL CAPITAL BROKERS (GCB) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>249, 28th October Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>3035 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0112943/17 of 04/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4691</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0112943/17 of 04/10/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0112943/17 of 04/10/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0112943/17 of 04/10/2017)

4) Execution of orders on behalf of clients (Notification 0112943/17 of 04/10/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0112943/17 of 04/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GENERAL INVESTMENTS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Glacistrasse 49</td>
</tr>
<tr>
<td>City:</td>
<td>8010 - Graz</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2072872 of 07/11/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1320</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2072872 of 07/11/2002)
2) Portfolio management (Notification 6057496 of 06/07/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: GENERATION ALFA LIMITED

Registered office: 15-17 King Street,
City: Sw1y 6qu - Londra
Country: Regno Unito
Notification of Registration: n. 0093270/14 of 01/12/2014
Registration no.: 4064

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093270/14 of 01/12/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093270/14 of 01/12/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0093270/14 of 01/12/2014)
4) Investment advice (Notification 0093270/14 of 01/12/2014)
5) Execution of orders on behalf of clients (Notification 0093270/14 of 01/12/2014)
6) Portfolio management (Notification 0093270/14 of 01/12/2014)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093270/14 of 01/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>GENERATION ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>7 Old Park Lane</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1k 1qr - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 8015089 of 20/02/2008</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2224</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8015089 of 20/02/2008)
2) Investment advice (Notification 8015089 of 20/02/2008)
3) Portfolio management (Notification 8015089 of 20/02/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8015089 of 20/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GENEVE INVEST (EUROPE) SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10, Rue Michel Rodange</td>
</tr>
<tr>
<td>City:</td>
<td>L2430 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12068200 of 13/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3490</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 12068200 of 13/08/2012)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12068200 of 13/08/2012)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12068200 of 13/08/2012)

4) Services related to underwriting (Notification 12068200 of 13/08/2012)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12068200 of 13/08/2012)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 12068200 of 13/08/2012)

7) Investment advice (Notification 12068200 of 13/08/2012)

8) Execution of orders on behalf of clients (Notification 12068200 of 13/08/2012)

9) Portfolio management (Notification 12068200 of 13/08/2012)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 12068200 of 13/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GESFIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>113 Main Street Suite 1 P. Box 1341</td>
</tr>
<tr>
<td>City:</td>
<td>- Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0044537/15 of 01/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4178</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0044537/15 of 01/06/2015)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0044537/15 of 01/06/2015)
3) Execution of orders on behalf of clients (Notification 0044537/15 of 01/06/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0044537/15 of 01/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
GF FINANCIAL MARKETS (UK) LIMITED

1) 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 (Notification 7098765 of 06/11/2007)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7098765 of 06/11/2007)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098765 of 06/11/2007)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7098765 of 06/11/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7098765 of 06/11/2007)

6) Placing of financial instruments without a firm commitment basis (Notification 7098765 of 06/11/2007)

7) Investment advice (Notification 7098765 of 06/11/2007)

8) Execution of orders on behalf of clients (Notification 7098765 of 06/11/2007)

9) Operation of an MTF (Notification 7098765 of 06/11/2007)

10) Dealing on own account (Notification 7098765 of 06/11/2007)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098765 of 06/11/2007)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GF INTERNATIONAL ASSET MANAGEMENT (UK) COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m5tf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0051845/16 of 03/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4397</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0051845/16 of 03/06/2016)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0051845/16 of 03/06/2016)
3) Investment advice (Notification 0051845/16 of 03/06/2016)
4) Execution of orders on behalf of clients (Notification 0051845/16 of 03/06/2016)
5) Portfolio management (Notification 0051845/16 of 03/06/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051845/16 of 03/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  
GFI BROKERS LIMITED

Registered office:  
1 Snowden Street

City:  
Ec2a 2dq - Londra

Country:  
Regno Unito

Notification of Registration:  
n. 96000620 of 03/01/1996

Registration no.:  
204

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0000174/18 of 03/01/2018)
2) Investment advice (Notification 7094205 of 01/11/2007)
3) Operation of an MTF (Notification 7094205 of 01/11/2007)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 97068543 of 07/10/1997)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 97068543 of 07/10/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GFI SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Broadgate West 1 Snowden Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6039256 of 10/11/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>924</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0000132/18 of 03/01/2018)
2) Placing of financial instruments without a firm commitment basis (Notification 0413740/18 of 17/10/2018)
3) Execution of orders on behalf of clients (Notification 2004184 of 23/01/2002)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 2004184 of 23/01/2002)
5) Dealing on own account (Notification 6039256 of 10/11/1997)
6) Investment advice (Notification 6039256 of 04/05/2006)
7) Operation of an MTF (Notification 7094206 of 01/11/2007)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GFP JUNIPER LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St James S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y4js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070970/14 of 29/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4023</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070970/14 of 29/08/2014)
2) Investment advice (Notification 0070970/14 of 29/08/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070970/14 of 29/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GFTA ANALYSTICS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Stadtle 11</td>
</tr>
<tr>
<td>City:</td>
<td>FI 9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11039093 of 04/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3145</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11039093 of 04/05/2011)
2) Investment advice (Notification 11039093 of 04/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **GILTSPUR CAPITAL LLP**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>60 Lombard St.</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec3v 9ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13035056 of 24/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3685</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13035056 of 24/04/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13035056 of 24/04/2013)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 13035056 of 24/04/2013)

4) Investment advice (Notification 13035056 of 24/04/2013)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13035056 of 24/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GINALFI FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>62 Rue De Richelieu</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0077613/14 of 01/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4037</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0077613/14 of 01/10/2014)
2) Execution of orders on behalf of clients (Notification 0077613/14 of 01/10/2014)
3) Dealing on own account (Notification 0077613/14 of 01/10/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077613/14 of 01/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **GINWARD LIMITED**

Registered office: 2 Highbury Road

City: Sw19 7pr - Londra

Country: Regno Unito

Notification of Registration: n. 12080660 of 10/10/2012

Registration no.: 3525

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12080660 of 10/10/2012)

2) Placing of financial instruments without a firm commitment basis (Notification 12080660 of 10/10/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12080660 of 10/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 2071539 of 31/10/2002)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2071539 of 31/10/2002)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2071539 of 31/10/2002)

4) Services related to underwriting (Notification 2071539 of 31/10/2002)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 2071539 of 31/10/2002)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 2071539 of 31/10/2002)

7) Placing of financial instruments without a firm commitment basis (Notification 2071539 of 31/10/2002)

8) Investment advice (Notification 2071539 of 31/10/2002)

9) Execution of orders on behalf of clients (Notification 2071539 of 31/10/2002)

10) Dealing on own account (Notification 2071539 of 31/10/2002)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 2071539 of 31/10/2002)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GKFX FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Bevis Marks</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10063756 of 20/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2915</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10063756 of 20/07/2010)
2) Execution of orders on behalf of clients (Notification 10063756 of 20/07/2010)
3) Dealing on own account (Notification 10063756 of 20/07/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10063756 of 20/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLEACHER SHACKLOCK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cleveland House 33 King Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6rj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5047763 of 06/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1561</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5047763 of 06/07/2005)
2) Investment advice (Notification 5047763 of 06/07/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5047763 of 06/07/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GLG PARTNERS LP

Registered office: Riverbank House, 2 Swan Lane

City: Ec4r 3ad - Londra

Country: Regno Unito

Notification of Registration: n. 64542 of 29/08/2000

Registration no.: 1041

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 64542 of 29/08/2000)
2) Investment advice (Notification 64542 of 29/08/2000)
3) Execution of orders on behalf of clients (Notification 64542 of 29/08/2000)
4) Portfolio management (Notification 64542 of 29/08/2000)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 64542 of 29/08/2000)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092098 of 01/11/2007)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GLIDER TRADING LLP

Registered office: 35-37 Grosvenor Gardens

City: Sw1w 0bs - Londra

Country: Regno Unito

Notification of Registration: n. 12054623 of 28/06/2012

Registration no.: 3460

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12054623 of 28/06/2012)
2) Execution of orders on behalf of clients (Notification 12054623 of 28/06/2012)
3) Portfolio management (Notification 12054623 of 28/06/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12054623 of 28/06/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GLOBACAP LIMITED

Registered office: Octagon Point 5 Cheapside

City: Ec2v 6aa - Londra

Country: Regno Unito

Notification of Registration: n. 0389008/19 of 04/07/2019

Registration no.: 5052

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0389008/19 of 04/07/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0389008/19 of 04/07/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL ASSET ADVISORS &amp; MANAGEMENT SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41, Killeboesch, Schengen</td>
</tr>
<tr>
<td>City:</td>
<td>L - 5444 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 74712/13 of 17/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3814</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 74712/13 of 17/09/2013)
2) Portfolio management (Notification 74712/13 of 17/09/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 74712/13 of 17/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL COAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>69 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7090990 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1907</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 7090990 of 01/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090990 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL CUSTODIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Oasts Business Village, The Old Barn, Red Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Me18 5nn - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059479 of 10/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3745</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0059479 of 10/07/2013)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059479 of 10/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 1043893 of 01/06/2001)
2) Investment advice (Notification 1043893 of 01/06/2001)
3) Execution of orders on behalf of clients (Notification 1043893 of 01/06/2001)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1043893 of 01/06/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **GLOBAL EVOLUTION FONDSMAEGLERSELSKAB A/S**

Registered office: Kohkolm 3 B

City: 6000 - Kolding

Country: Danimarca

Notification of Registration: n. 10039341 of 03/05/2010

Registration no.: 2842

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10039341 of 03/05/2010)
2) Investment advice (Notification 10039341 of 03/05/2010)
3) Execution of orders on behalf of clients (Notification 10039341 of 03/05/2010)
4) Portfolio management (Notification 10039341 of 03/05/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10039341 of 03/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Services Provided in Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10098901 of 02/12/2010)</td>
</tr>
<tr>
<td>2) Investment advice (Notification 10098901 of 02/12/2010)</td>
</tr>
<tr>
<td>3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10098901 of 02/12/2010)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL LEISURE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17/18 Old Bond Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4pt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6034977 of 20/04/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1641</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6034977 of 20/04/2006)
2) Investment advice (Notification 6034977 of 20/04/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6034977 of 20/04/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL MARKET INDEX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0148945/18 of 11/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4824</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0148945/18 of 11/05/2018)
2) Dealing on own account (Notification 0148945/18 of 11/05/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0148945/18 of 11/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL MARKETS GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>101-H Peel House 32-44 London Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Sm4 5bt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099711/16 of 08/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4501</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0099711/16 of 08/11/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0099711/16 of 08/11/2016)

3) Execution of orders on behalf of clients (Notification 0099711/16 of 08/11/2016)

4) Dealing on own account (Notification 0099711/16 of 08/11/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099711/16 of 08/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL PRESERVATION STRATEGIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Little Trinity Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 2an - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12051600 of 18/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3451</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12051600 of 18/06/2012)
2) Investment advice (Notification 12051600 of 18/06/2012)
3) Execution of orders on behalf of clients (Notification 12051600 of 18/06/2012)
4) Portfolio management (Notification 12051600 of 18/06/2012)
5) Dealing on own account (Notification 12051600 of 18/06/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12051600 of 18/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL PRIME PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>101 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 1qu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8093398 of 09/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2437</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0096530/17 of 03/08/2017)
2) Execution of orders on behalf of clients (Notification 8093398 of 09/10/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8093398 of 09/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL REACH MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Basinghall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v5ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11059584 of 01/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3192</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087743/17 of 11/07/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0087743/17 of 11/07/2017)
3) Execution of orders on behalf of clients (Notification 0087743/17 of 11/07/2017)
4) Investment advice (Notification 11059584 of 01/07/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11059584 of 01/07/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL SHARES EXECUTION SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Building D, West Cork Technology Park,</td>
</tr>
<tr>
<td>City:</td>
<td>- Clonakilty</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087083/15 of 11/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4265</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0087083/15 of 11/11/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087083/15 of 11/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL SHARES EXECUTION SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>171, Old Bakery Street</td>
</tr>
<tr>
<td>City:</td>
<td>1455 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0158196/19 of 25/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4983</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0158196/19 of 25/03/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0158196/19 of 25/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBAL WEALTH MANAGEMENT SOLUTIONS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wrest Park Silsoe</td>
</tr>
<tr>
<td>City:</td>
<td>Mk45 Hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086491/15 of 09/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4262</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086491/15 of 09/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBE INDEPENDENT FINANCIAL ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Chertsey Road St Margarets Twickenham</td>
</tr>
<tr>
<td>City:</td>
<td>Tw1 1lr - Middlesex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7096549 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1934</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096549 of 01/11/2007)
2) Investment advice (Notification 7096549 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096549 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GLOBIA WEALTH LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Andrea Papacosta 7</td>
</tr>
<tr>
<td>City:</td>
<td>1037 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0031220/17 of 09/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4576</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0031220/17 of 09/03/2017)
2) Investment advice (Notification 0031220/17 of 09/03/2017)
3) Execution of orders on behalf of clients (Notification 0031220/17 of 09/03/2017)
4) Portfolio management (Notification 0031220/17 of 09/03/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031220/17 of 09/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GMG BROKERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52-55 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j0dx - Piccadilly</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12070321 of 28/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3497</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12070321 of 28/08/2012)
2) Execution of orders on behalf of clients (Notification 12070321 of 28/08/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12070321 of 28/08/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GMO UK LIMITED

Registered office: N.1 London Bridge

City: Se19bg - Londra

Country: Regno Unito

Notification of Registration: n. 4013196 of 16/02/2004

Registration no.: 1421

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4013196 of 16/02/2004)
2) Execution of orders on behalf of clients (Notification 4013196 of 16/02/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4013196 of 16/02/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>GMO-Z.COM TRADE UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>36 Old Jewry</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec2r8dd - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0077576/14 of 01/10/2014</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4038</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0077576/14 of 01/10/2014)
2) Execution of orders on behalf of clients (Notification 0077576/14 of 01/10/2014)
3) Dealing on own account (Notification 0077576/14 of 01/10/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0077576/14 of 01/10/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0053625/15 of 03/07/2015)
2) Services related to underwriting (Notification 0053625/15 of 03/07/2015)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0053625/15 of 03/07/2015)
4) Placing of financial instruments without a firm commitment basis (Notification 0053625/15 of 03/07/2015)
5) Dealing on own account (Notification 0053625/15 of 03/07/2015)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10071786 of 20/08/2010)
7) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10071786 of 20/08/2010)
8) Investment advice (Notification 10071786 of 20/08/2010)
9) Execution of orders on behalf of clients (Notification 10071786 of 20/08/2010)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 10071786 of 20/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GMT COMMUNICATIONS PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Piccadilly Sacville House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 0dr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060890/13 of 16/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3750</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0060890/13 of 16/07/2013)
2) Investment advice (Notification 0060890/13 of 16/07/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060890/13 of 16/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GN FINANCE AG

Registered office: Landtrasse 104

City: 9490 - Vaduz

Country: Liechtenstein

Notification of Registration: n. 0083985/16 of 20/09/2016

Registration no.: 4473

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0083985/16 of 20/09/2016)
2) Portfolio management (Notification 0083985/16 of 20/09/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083985/16 of 20/09/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GN INVEST AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landstrasse 104</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083984/16 of 20/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4472</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0083984/16 of 20/09/2016)
2) Investment advice (Notification 0083984/16 of 20/09/2016)
3) Execution of orders on behalf of clients (Notification 0083984/16 of 20/09/2016)
4) Portfolio management (Notification 0083984/16 of 20/09/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083984/16 of 20/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GO MARKETS LTD

Registered office: 73 Agias Zonis & Tertaiou Corner, Dena

City: - Limassol

Country: Cipro

Notification of Registration: n. 0101717/17 of 25/08/2017

Registration no.: 4662

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0101717/17 of 25/08/2017)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0101717/17 of 25/08/2017)

3) Execution of orders on behalf of clients (Notification 0101717/17 of 25/08/2017)

4) Dealing on own account (Notification 0101717/17 of 25/08/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101717/17 of 25/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOETZPARTNERS SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Pancras Square</td>
</tr>
<tr>
<td>City:</td>
<td>N1c4ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0061507/16 of 04/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4423</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0061507/16 of 04/07/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0061507/16 of 04/07/2016)

3) Investment advice (Notification 0061507/16 of 04/07/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061507/16 of 04/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>GOLDBERG PAN-EUROPEAN WEALTH CONSULTING LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>259 Sant Paul Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Vlt 1213 - Valletta</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Malta</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0090582/19 of 19/02/2019</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4955</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0090582/19 of 19/02/2019)
2) Investment advice (Notification 0090582/19 of 19/02/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090582/19 of 19/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOLDENBERG HEHMeyer LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Greenwich View Place</td>
</tr>
<tr>
<td>City:</td>
<td>E14 9nn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11066721 of 27/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3211</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 11066721 of 27/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOLDENBURG GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Siafi Street Porto Bello Building, 1st Floor</td>
</tr>
<tr>
<td>City:</td>
<td>3042 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002227/16 of 12/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4299</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0002227/16 of 12/01/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002227/16 of 12/01/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0002227/16 of 12/01/2016)

4) Execution of orders on behalf of clients (Notification 0002227/16 of 12/01/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002227/16 of 12/01/2016)

6) Investment advice (Notification 0050234/16 of 30/05/2016)

7) Portfolio management (Notification 0050234/16 of 30/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(*DATE 10/01/2020*)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOLDENTREE ASSET MANAGEMENT UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Davies Street 4th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4lr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9061423 of 02/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2621</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9061423 of 02/07/2009)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 9061423 of 02/07/2009)
3) Investment advice (Notification 9061423 of 02/07/2009)
4) Execution of orders on behalf of clients (Notification 9061423 of 02/07/2009)
5) Portfolio management (Notification 9061423 of 02/07/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9061423 of 02/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOLDENWAY GLOBAL INVESTMENTS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>New Broad Street House 35 New Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1nh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9061418 of 02/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2626</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093077/17 of 26/07/2017)
2) Investment advice (Notification 9061418 of 02/07/2009)
3) Execution of orders on behalf of clients (Notification 9061418 of 02/07/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9061418 of 02/07/2009)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0112302/19 of 28/02/2019)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0112302/19 of 28/02/2019)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0112302/19 of 28/02/2019)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0112302/19 of 28/02/2019)

5) Services related to underwriting (Notification 0112302/19 of 28/02/2019)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0112302/19 of 28/02/2019)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0112302/19 of 28/02/2019)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0112302/19 of 28/02/2019)

9) Placing of financial instruments without a firm commitment basis (Notification 0112302/19 of 28/02/2019)

10) Investment advice (Notification 0112302/19 of 28/02/2019)

11) Execution of orders on behalf of clients (Notification 0112302/19 of 28/02/2019)
12) Dealing on own account (Notification 0112302/19 of 28/02/2019)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0112302/19 of 28/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Goldman Sachs Asset Management International</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Plumtree Court 25 Shoe Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a 4au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>358</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7098007 of 02/11/2007)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

4) Investment advice (Notification 96000620 of 03/01/1996)

5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

6) Portfolio management (Notification 96000620 of 03/01/1996)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Sentence::**

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7092260 of 01/11/2007)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092260 of 01/11/2007)

3) 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 (Notification 96059817 of 15/07/1996)

4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

6) Services related to underwriting (Notification 96059817 of 15/07/1996)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 96059817 of 15/07/1996)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)

9) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)

10) Investment advice (Notification 96059817 of 15/07/1996)

11) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)
12) Portfolio management (Notification 96059817 of 15/07/1996)
13) Dealing on own account (Notification 96059817 of 15/07/1996)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>3) Services related to underwriting (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>5) Foreign exchange services where these are connected to the provision of investment services (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>7) Placing of financial instruments without a firm commitment basis (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>8) Investment advice (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>9) Dealing on own account (Notification 0046522/19 of 29/01/2019)</td>
</tr>
<tr>
<td>10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0046522/19 of 29/01/2019)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOODBODY STOCKBROKERS UNLIMITED COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ballsbridge Park, Ballsbridge Dublin 4</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96006978 of 23/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>438</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8030634 of 03/04/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8049541 of 23/05/2008)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96006978 of 23/01/1996)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96006978 of 23/01/1996)

5) Services related to underwriting (Notification 96006978 of 23/01/1996)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 96006978 of 23/01/1996)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96006978 of 23/01/1996)

8) Placing of financial instruments without a firm commitment basis (Notification 96006978 of 23/01/1996)

9) Investment advice (Notification 96006978 of 23/01/1996)

10) Execution of orders on behalf of clients (Notification 96006978 of 23/01/1996)

11) Portfolio management (Notification 96006978 of 23/01/1996)

12) Dealing on own account (Notification 96006978 of 23/01/1996)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96006978 of 23/01/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GOODMAN OPERATOR (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Old Burlington Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8065870 of 14/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2353</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8065870 of 14/07/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8065870 of 14/07/2008)
3) Investment advice (Notification 8065870 of 14/07/2008)
4) Execution of orders on behalf of clients (Notification 8065870 of 14/07/2008)
5) Portfolio management (Notification 8065870 of 14/07/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8065870 of 14/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GO4VENTURE ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Charles Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9052644 of 04/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2605</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9052644 of 04/06/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9052644 of 04/06/2009)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 9052644 of 04/06/2009)

4) Investment advice (Notification 9052644 of 04/06/2009)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9052644 of 04/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GP BULLHOUND LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 36116 of 12/05/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1008</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 36116 of 12/05/2000)
2) Investment advice (Notification 36116 of 12/05/2000)
3) Execution of orders on behalf of clients (Notification 36116 of 12/05/2000)
4) Portfolio management (Notification 36116 of 12/05/2000)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 36116 of 12/05/2000)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**GPB FINANCIAL SERVICES LTD**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GPB FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17, Spyrou Kiprianou Avenue, Mbc Business Centre,</td>
</tr>
<tr>
<td>City:</td>
<td>4001 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11084965 of 18/10/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3285</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 11084965 of 18/10/2011)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11084965 of 18/10/2011)
3) Placing of financial instruments without a firm commitment basis (Notification 11084965 of 18/10/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GPS CAPITAL MARKETS LIMITED

Registered office: 1 Finsbury Circus

City: Ec2m 7eb - Londra

Country: Regno Unito

Notification of Registration: n. 0606228/19 of 07/10/2019

Registration no.: 5113

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0606228/19 of 07/10/2019)
2) Investment advice (Notification 0606228/19 of 07/10/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRAMERCY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Knightsbridge Green</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x7ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0019468/14 of 12/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3927</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0019468/14 of 12/03/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019468/14 of 12/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRANFELD WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3, Menandrou Str., Glafkos Tower</td>
</tr>
<tr>
<td>City:</td>
<td>1066 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021907/17 of 16/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4560</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0021907/17 of 16/02/2017)
2) Investment advice (Notification 0021907/17 of 16/02/2017)
3) Portfolio management (Notification 0021907/17 of 16/02/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021907/17 of 16/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>GRANITE RIDGE LLP</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Essex Villas</td>
</tr>
<tr>
<td>City:</td>
<td>W8 7bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12074773 of 17/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3507</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12074773 of 17/09/2012)

2) Investment advice (Notification 12074773 of 17/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREATER PACIFIC CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>77 Wimpole Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9ru - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7042521 of 11/05/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1788</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7042521 of 11/05/2007)
2) Investment advice (Notification 7042521 of 11/05/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7042521 of 11/05/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREEN ASH PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18b Charles Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10022614 of 16/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2804</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10022614 of 16/03/2010)
2) Execution of orders on behalf of clients (Notification 10022614 of 16/03/2010)
3) Portfolio management (Notification 10022614 of 16/03/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10022614 of 16/03/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREEN STREET ADVISORS (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Balderton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6tl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060698/19 of 05/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4939</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0060698/19 of 05/02/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0060698/19 of 05/02/2019)

3) Investment advice (Notification 0060698/19 of 05/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENHILL &amp; CO. EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7th Floor Lansdowne House Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2006390 of 30/01/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1270</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2006390 of 30/01/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2006390 of 30/01/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENHILL &amp; CO. INTERNATIONAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0160003/19 of 26/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4997</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0160003/19 of 26/03/2019)
2) Investment advice (Notification 0160003/19 of 26/03/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0160003/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches
(2020-01-10)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENHILL &amp; CO. SPAIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lansdowne House 57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086311/17 of 06/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4635</td>
</tr>
</tbody>
</table>

**Services Provided in Italy**

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086311/17 of 06/07/2017)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086311/17 of 06/07/2017)
3. Investment advice (Notification 0086311/17 of 06/07/2017)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0086311/17 of 06/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENHILL COGENT EUROPE, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7th Floor Lansdowne House 57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6064063 of 28/07/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1680</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 6064063 of 28/07/2006)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 6064063 of 28/07/2006)
3. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGGER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENSLEDGE CAPITAL MARKETS EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ff - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081098/13 of 14/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3827</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0081098/13 of 14/10/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0081098/13 of 14/10/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0081098/13 of 14/10/2013)

4) Services related to underwriting (Notification 0081098/13 of 14/10/2013)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0081098/13 of 14/10/2013)

6) Placing of financial instruments without a firm commitment basis (Notification 0081098/13 of 14/10/2013)

7) Investment advice (Notification 0081098/13 of 14/10/2013)

8) Execution of orders on behalf of clients (Notification 0081098/13 of 14/10/2013)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081098/13 of 14/10/2013)

10) Dealing on own account (Notification 0093784/17 of 27/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREENSPHERE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 St. James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11088393 of 31/10/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3288</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11088393 of 31/10/2011)
2) Investment advice (Notification 11088393 of 31/10/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11088393 of 31/10/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GREENSTREAM NETWORK PLC

Registered office: Kluuvikatu 3

City: 00100 - Helsinki

Country: Finlandia

Notification of Registration: n. 8048124 of 21/05/2008

Registration no.: 2315

SERVICES PROVIDED IN ITALY

1) 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 (Notification 8048124 of 21/05/2008)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8048124 of 21/05/2008)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8048124 of 21/05/2008)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8048124 of 21/05/2008)

5) Services related to underwriting (Notification 8048124 of 21/05/2008)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8048124 of 21/05/2008)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 8048124 of 21/05/2008)

8) Placing of financial instruments without a firm commitment basis (Notification 8048124 of 21/05/2008)

9) Execution of orders on behalf of clients (Notification 8048124 of 21/05/2008)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 8048124 of 21/05/2008)

11) Investment advice (Notification 8099027 of 28/10/2008)
12) Portfolio management (Notification 8099027 of 28/10/2008)
13) Dealing on own account (Notification 8099027 of 28/10/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREIFZU CONTINENTAL CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Crabtree Place Whitfield Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1t2at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0080408/13 of 10/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3825</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(.Notification 0080408/13 of 10/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GREYSTONE FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Scott Drive Foundation House</td>
</tr>
<tr>
<td>City:</td>
<td>Wa158ab - Altrincham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0023902/14 of 27/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3935</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0023902/14 of 27/03/2014)
2) Investment advice (Notification 0023902/14 of 27/03/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0023902/14 of 27/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRIFFIN MARKETS EUROPE SAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Rue Blaise Desgoffe</td>
</tr>
<tr>
<td>City:</td>
<td>75006 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0140731/19 of 14/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4972</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0140731/19 of 14/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRIFFIN MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>86 Duke Of York Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw34ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13016070 of 26/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3643</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 13016070 of 26/02/2013)
2) Operation of an MTF (Notification 13016070 of 26/02/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13016070 of 26/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRISONS PEAK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>128d Sinclair Road</td>
</tr>
<tr>
<td>City:</td>
<td>W14 0nl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6100278 of 21/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1739</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6100278 of 21/12/2006)
2) Services related to underwriting (Notification 6100278 of 21/12/2006)
3) Placing of financial instruments without a firm commitment basis (Notification 6100278 of 21/12/2006)
4) Investment advice (Notification 6100278 of 21/12/2006)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GROWELL CAPITAL LIMITED

Registered office: 17, Spyrou Kyprianou Avenue

City: 4001 - Limassol

Country: Cipro

Notification of Registration: n. 0061306/14 of 22/07/2014

Registration no.: 4001

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0061306/14 of 22/07/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0061306/14 of 22/07/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0061306/14 of 22/07/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0061306/14 of 22/07/2014)

5) Investment advice (Notification 0061306/14 of 22/07/2014)

6) Execution of orders on behalf of clients (Notification 0061306/14 of 22/07/2014)

7) Portfolio management (Notification 0061306/14 of 22/07/2014)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061306/14 of 22/07/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GRS CAPITAL PARTNERS LTD

Registered office: 1 Burwood Place

City: W2 2ut - Londra

Country: Regno Unito

Notification of Registration: n. 0001870/18 of 08/01/2018

Registration no.: 4747

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0001870/18 of 08/01/2018)
2) Investment advice (Notification 0001870/18 of 08/01/2018)
3) Execution of orders on behalf of clients (Notification 0001870/18 of 08/01/2018)
4) Portfolio management (Notification 0001870/18 of 08/01/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0001870/18 of 08/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GRUNER FISHER INVESTMENTS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sportstrasse 2a</td>
</tr>
<tr>
<td>City:</td>
<td>D67688 - Rodenbach</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0044997/14 of 29/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3970</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0044997/14 of 29/05/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0044997/14 of 29/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GST CAPITAL LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>14-16 Great Chapel Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>W1f 8fl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084795/19 of 15/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4948</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0084795/19 of 15/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GTS SECURITIES EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Aldermanbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0004746/16 of 20/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4307</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0004746/16 of 20/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: GUARDCAP ASSET MANAGEMENT LIMITED

Registered office: 11 Charles Ii Street St. James’S

City: Sw1y 4ns - Londra

Country: Regno Unito

Notification of Registration: n. 0606228/19 of 07/10/2019

Registration no.: 5101

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0606228/19 of 07/10/2019)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0606228/19 of 07/10/2019)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0606228/19 of 07/10/2019)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)

5) Services related to underwriting (Notification 0606228/19 of 07/10/2019)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0606228/19 of 07/10/2019)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0606228/19 of 07/10/2019)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0606228/19 of 07/10/2019)

9) Placing of financial instruments without a firm commitment basis (Notification 0606228/19 of 07/10/2019)

10) Investment advice (Notification 0606228/19 of 07/10/2019)

11) Execution of orders on behalf of clients (Notification 0606228/19 of 07/10/2019)
12) Portfolio management (Notification 0606228/19 of 07/10/2019)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GUARDIAN STOCKBROKERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 City Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1y2aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9044052 of 12/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2589</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9044052 of 12/05/2009)
2) Execution of orders on behalf of clients (Notification 9044052 of 12/05/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9044052 of 12/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>GUGGENHEIM INVESTMENT ADVISORS (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>5 Wilton Road</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sw1v 1an - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 10093805 of 12/11/2010</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3017</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10093805 of 12/11/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10093805 of 12/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GUGGENHEIM PARTNERS EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hanover Quay</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10087737 of 27/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3005</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0020481/14 of 17/03/2014)
2) Investment advice (Notification 10087737 of 27/10/2010)
3) Portfolio management (Notification 10087737 of 27/10/2010)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12019751 of 19/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GUGGENHEIM SECURITIES INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Ironmonger Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8ey - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9022227 of 12/03/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2547</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9022227 of 12/03/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9022227 of 12/03/2009)
3) Investment advice (Notification 9022227 of 12/03/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9022227 of 12/03/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GULF CENTRAL MERCHANT BANK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071848/13 of 30/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3794</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0071848/13 of 30/08/2013)
2) Execution of orders on behalf of clients (Notification 0071848/13 of 30/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071848/13 of 30/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>GUY BUTLER LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>2 Broadgate</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td><strong>Ec2m 7ur - Londra</strong></td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td><strong>Regno Unito</strong></td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 3008 of 17/01/2000</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>970</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3008 of 17/01/2000)
2) Execution of orders on behalf of clients (Notification 3008 of 17/01/2000)
3) Dealing on own account (Notification 3008 of 17/01/2000)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 3008 of 17/01/2000)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092103 of 01/11/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GWA INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Portomaso Business Tower</td>
</tr>
<tr>
<td>City:</td>
<td>Stj 4011 - Saint Julians</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195377/19 of 10/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5018</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0195377/19 of 10/04/2019)
2) Investment advice (Notification 0195377/19 of 10/04/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0195377/19 of 10/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **GWG (CYPRUS) LIMITED**

Registered office: 4, Rigas Fereos Street Omega Court

City: 3095 - Limassol

Country: Cipro

Notification of Registration: n. 0039097/16 of 29/04/2016

Registration no.: 4369

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0039097/16 of 29/04/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0039097/16 of 29/04/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0039097/16 of 29/04/2016)

4) Execution of orders on behalf of clients (Notification 0039097/16 of 29/04/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0039097/16 of 29/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GWM CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Upper Brook St</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 7qd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11006309 of 28/01/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3068</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11006309 of 28/01/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11006309 of 28/01/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>GWM FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Glebe Farm Burghwallis Road</td>
</tr>
<tr>
<td>City:</td>
<td>Dn6 9jj - Doncaster</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0495486/19 of 22/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5067</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0495486/19 of 22/08/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495486/19 of 22/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: H. LUNDEN FONDKOMMISSION AB

Registered office: Kungstradgardsgatan 18
City: S-111 47 - Stoccolma
Country: Svezia

Notification of Registration: n. 96021459 of 12/03/1996
Registration no.: 460

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 96021459 of 12/03/1996)
2) Investment advice (Notification 96021459 of 12/03/1996)
3) Execution of orders on behalf of clients (Notification 96021459 of 12/03/1996)
4) Dealing on own account (Notification 96021459 of 12/03/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96021459 of 12/03/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HADRIAN’S WALL CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0028013/14 of 03/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3940</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0028013/14 of 03/04/2014)

2) Investment advice (Notification 0028013/14 of 03/04/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0028013/14 of 03/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HAITONG INTERNATIONAL SECURITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 St Lukes Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 3rp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3024484 of 16/04/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1361</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3024484 of 16/04/2003)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3024484 of 16/04/2003)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HAITONG INTERNATIONAL (UK) LIMITED

Registered office: 10 Paternoster Square,

City: Ec4m 7al - Londra

Country: Regno Unito

Notification of Registration: n. 1056528 of 23/07/2001

Registration no.: 1155

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0020147/15 of 20/03/2015)
2) Services related to underwriting (Notification 0020147/15 of 20/03/2015)
3) Investment advice (Notification 1056528 of 23/07/2001)
4) Execution of orders on behalf of clients (Notification 1056528 of 23/07/2001)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1056528 of 23/07/2001)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7051686 of 04/06/2007)
7) Dealing on own account (Notification 7051686 of 04/06/2007)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  HALCYON COMMODITIES (UK) LIMITED

Registered office:  Grangewood House Oakwood Hill

City:  Ig10 3tz - Loughton

Country:  Regno Unito

Notification of Registration:  n. 0074511/14 of 18/09/2014

Registration no.:  4035

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0074511/14 of 18/09/2014)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0074511/14 of 18/09/2014)

3) Investment advice (Notification 0074511/14 of 18/09/2014)

4) Execution of orders on behalf of clients (Notification 0074511/14 of 18/09/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074511/14 of 18/09/2014)

6) Dealing on own account (Notification 0093838/17 of 27/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HALIFAX SHARE DEALING LIMITED

Registered office: Lovell Prk, Lovell Park Road

City: Ls11ns - Leeds

Country: Regno Unito

Notification of Registration: n. 0000850/14 of 07/01/2014

Registration no.: 3881

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0000850/14 of 07/01/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0000850/14 of 07/01/2014)

3) Execution of orders on behalf of clients (Notification 0000850/14 of 07/01/2014)

4) Dealing on own account (Notification 0000850/14 of 07/01/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0000850/14 of 07/01/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HALKIN INVESTMENTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13025213 of 28/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3668</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13025213 of 28/03/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13025213 of 28/03/2013)
3) Investment advice (Notification 13025213 of 28/03/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13025213 of 28/03/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **HALO INVESTMENT MANAGEMENT LLP**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>95 Queen Victoria Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec4v 4hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057220/16 of 20/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4412</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0057220/16 of 20/06/2016)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0057220/16 of 20/06/2016)

3) Investment advice (Notification 0057220/16 of 20/06/2016)

4) Execution of orders on behalf of clients (Notification 0057220/16 of 20/06/2016)

5) Portfolio management (Notification 0057220/16 of 20/06/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0057220/16 of 20/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HAMILTON COURT FOREIGN EXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1st Floor East 103 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5102</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0606228/19 of 07/10/2019)
2) Dealing on own account (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HAMILTON LANE (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Buchanan House 3 St. James' S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ju - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7095622 of 25/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1871</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7095622 of 25/10/2007)
2) Execution of orders on behalf of clients (Notification 7095622 of 25/10/2007)
3) Portfolio management (Notification 7095622 of 25/10/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7095622 of 25/10/2007)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HANDS-ON B.V.HANDS-ON B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Conradstraat 38,</td>
</tr>
<tr>
<td>City:</td>
<td>3013 Ap - Rotterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083979/16 of 20/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4470</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0083979/16 of 20/09/2016)

2) Placing of financial instruments without a firm commitment basis (Notification 0083979/16 of 20/09/2016)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083979/16 of 20/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HANSON ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Mount Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3sq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10073571 of 01/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2961</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10073571 of 01/09/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10073571 of 01/09/2010)
3) Services related to underwriting (Notification 10073571 of 01/09/2010)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10073571 of 01/09/2010)
5) Placing of financial instruments without a firm commitment basis (Notification 10073571 of 01/09/2010)
6) Investment advice (Notification 10073571 of 01/09/2010)
7) Execution of orders on behalf of clients (Notification 10073571 of 01/09/2010)
8) Portfolio management (Notification 10073571 of 01/09/2010)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 10073571 of 01/09/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HANTEC MARKETS LIMITED

Registered office: 12-14 Wilfred Street

City: Sw1e 6pl - Londra

Country: Regno Unito

Notification of Registration: n. 10059508 of 02/07/2010

Registration no.: 2897

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0075977/15 of 01/10/2015)
2) Dealing on own account (Notification 0094233/17 of 28/07/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10059508 of 02/07/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARBOURVEST PARTNERS (U.K.) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070581/13 of 27/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3785</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070581/13 of 27/08/2013)
2) Investment advice (Notification 0070581/13 of 27/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070581/13 of 27/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARDING LOEVNER (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0116996/18 of 19/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4810</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0116996/18 of 19/04/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0116996/18 of 19/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARGREAVE HALE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Springfield Road Lancashire</td>
</tr>
<tr>
<td>City:</td>
<td>Fy1 1qn - Blackpool</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1050032 of 25/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1356</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1050032 of 25/06/2001)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1050032 of 25/06/2001)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1050032 of 25/06/2001)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 1050032 of 25/06/2001)
5) Investment advice (Notification 1050032 of 25/06/2001)
6) Execution of orders on behalf of clients (Notification 1050032 of 25/06/2001)
7) Portfolio management (Notification 1050032 of 25/06/2001)
8) Dealing on own account (Notification 1050032 of 25/06/2001)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 1050032 of 25/06/2001)
10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>HARGREAVES LANSDOWN ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One College Square South, Anchor Road</td>
</tr>
<tr>
<td>City:</td>
<td>Bs1 5hl - Bristol</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7092228 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1905</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7092228 of 01/11/2007)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7092228 of 01/11/2007)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 7092228 of 01/11/2007)

4) Investment advice (Notification 7092228 of 01/11/2007)

5) Execution of orders on behalf of clients (Notification 7092228 of 01/11/2007)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7092228 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **HARPSDEN WEALTH MANAGEMENT LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Newtown House, Newtown Road, Henley On Thames</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Tg9 1hg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12096356 of 31/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3546</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12096356 of 31/10/2012)
2) Execution of orders on behalf of clients (Notification 12096356 of 31/10/2012)
3) Portfolio management (Notification 12096356 of 31/10/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12096356 of 31/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARRINGTON COOPER LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011476/16 of 09/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4316</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011476/16 of 09/02/2016)

2) Investment advice (Notification 0011476/16 of 09/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARRINGTON WOOD BATH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Gay Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ba1 2ns - Bath</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070779 of 12/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2941</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10070779 of 12/08/2010)
2) Investment advice (Notification 10070779 of 12/08/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070779 of 12/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARRIS WILLIAMS &amp; CO. LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>63 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4hs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12009027 of 07/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3340</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12009027 of 07/02/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12009027 of 07/02/2012)
3) Services related to underwriting (Notification 12009027 of 07/02/2012)
4) Placing of financial instruments without a firm commitment basis (Notification 12009027 of 07/02/2012)
5) Investment advice (Notification 12009027 of 07/02/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009027 of 07/02/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARTMANN CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>44 Worship Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6055286 of 27/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1670</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6055286 of 27/06/2006)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 6055286 of 27/06/2006)
3) Investment advice (Notification 6055286 of 27/06/2006)
4) Execution of orders on behalf of clients (Notification 6055286 of 27/06/2006)
5) Portfolio management (Notification 6055286 of 27/06/2006)
6) Dealing on own account (Notification 6055286 of 27/06/2006)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 6055286 of 27/06/2006)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARVEST FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Oval, Shelbourne Road, Ballsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>D04 T8f2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0614323/19 of 09/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5118</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0614323/19 of 09/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0614323/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARVEST GLOBAL INVESTMENTS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12th Floor 20 Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0082986/15 of 26/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4247</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0082986/15 of 26/10/2015)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0082986/15 of 26/10/2015)
3) Investment advice (Notification 0082986/15 of 26/10/2015)
4) Execution of orders on behalf of clients (Notification 0082986/15 of 26/10/2015)
5) Portfolio management (Notification 0082986/15 of 26/10/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0082986/15 of 26/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HARWOOD PRIVATE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Stratton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8ld - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0162979/19 of 27/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4992</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0162979/19 of 27/03/2019)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0162979/19 of 27/03/2019)
3) Placing of financial instruments without a firm commitment basis (Notification 0162979/19 of 27/03/2019)
4) Investment advice (Notification 0162979/19 of 27/03/2019)
5) Execution of orders on behalf of clients (Notification 0162979/19 of 27/03/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0162979/19 of 27/03/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HASAN FINANCIAL CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Hay Hill, Berkley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1x 7lf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97066676 of 23/09/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>633</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 97066676 of 23/09/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** HASENBLICHER ASSET MANAGEMENT VERMOGENVERWALTUNGS GMBH

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Eschenbachgasse 11</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
</tbody>
</table>

**Notification of Registration:** n. 99077065 of 21/10/1999

**Registration no.:** 943

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99077065 of 21/10/1999)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 99077065 of 21/10/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HAWKSMOOR INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Barnfield Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>Ex1 1qt - Devon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9060446 of 30/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2619</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9060446 of 30/06/2009)
2) Execution of orders on behalf of clients (Notification 9060446 of 30/06/2009)
3) Portfolio management (Notification 9060446 of 30/06/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9060446 of 30/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HAWKWOOD CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0080407/13 of 10/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3826</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0080407/13 of 10/10/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0080407/13 of 10/10/2013)
3) Investment advice (Notification 0080407/13 of 10/10/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HC WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Orchard Lea, Drift Road, Winkfield</td>
</tr>
<tr>
<td>City:</td>
<td>SL4 4rp - Berkshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069613/13 of 19/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3773</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069613/13 of 19/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HCF INTERNATIONAL ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Dartmouth Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 9bl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4096565 of 09/11/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1490</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4096565 of 09/11/2004)

2) Investment advice (Notification 4096565 of 09/11/2004)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4096565 of 09/11/2004)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>H.C.M. HYPO CAPITAL MANAGEMENT VERMOGENSBETREUUNGSGESELLSCHAFT M.B.H.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Maria-Theresien-Strasse 16</td>
</tr>
<tr>
<td>City:</td>
<td>A-6020 - Innsbruck</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 53983 of 15/07/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1029</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 53983 of 15/07/2000)
2. Portfolio management (Notification 53983 of 15/07/2000)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 53983 of 15/07/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HD CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Aldermary House, 10-15 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 1tx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11054846 of 17/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3171</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11054846 of 17/06/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11054846 of 17/06/2011)
3) Services related to underwriting (Notification 11054846 of 17/06/2011)
4) Placing of financial instruments without a firm commitment basis (Notification 11054846 of 17/06/2011)
5) Investment advice (Notification 11054846 of 17/06/2011)
6) Execution of orders on behalf of clients (Notification 11054846 of 17/06/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11054846 of 17/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0054046/15 of 06/07/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0054046/15 of 06/07/2015)

3) Investment advice (Notification 0054046/15 of 06/07/2015)

4) Execution of orders on behalf of clients (Notification 0054046/15 of 06/07/2015)

5) Portfolio management (Notification 0054046/15 of 06/07/2015)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054046/15 of 06/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HEITMAN UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Henrietta Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 9pu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9008725 of 27/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2514</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9008725 of 27/01/2009)
2) Investment advice (Notification 9008725 of 27/01/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9008725 of 27/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HELLOSTAKE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43a Cottenham Road Histon Cambridge</td>
</tr>
<tr>
<td>City:</td>
<td>Cb24 9es - Cambridgeshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0591910/19 of 01/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5087</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0591910/19 of 01/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HELM GODFREY PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Warnford Court, 29 Throgmorton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8002370 of 10/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2163</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8002370 of 10/01/2008)
2) Investment advice (Notification 8002370 of 10/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8002370 of 10/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HENDERSON GLOBAL INVESTORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>201 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96053367 of 18/06/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>902</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 96053367 of 18/06/1996)  
2) Portfolio management (Notification 96053367 of 18/06/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HENDERSON ROWE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4qn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8093396 of 09/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2438</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8093396 of 09/10/2008)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 8093396 of 09/10/2008)
3) Investment advice (Notification 8093396 of 09/10/2008)
4) Execution of orders on behalf of clients (Notification 8093396 of 09/10/2008)
5) Portfolio management (Notification 8093396 of 09/10/2008)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8093396 of 09/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HEPTAGON CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>171, Old Bakery Street</td>
</tr>
<tr>
<td>City:</td>
<td>Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0287075/18 of 01/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4861</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0287075/18 of 01/08/2018)
2) Portfolio management (Notification 0287075/18 of 01/08/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HEPTAGON CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grafton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8037489 of 22/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2290</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8037489 of 22/04/2008)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8037489 of 22/04/2008)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 8037489 of 22/04/2008)
4) Investment advice (Notification 8037489 of 22/04/2008)
5) Execution of orders on behalf of clients (Notification 8037489 of 22/04/2008)
6) Portfolio management (Notification 8037489 of 22/04/2008)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8037489 of 22/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HERITABLE BANK PLC

Registered office: 8 Hill Street Berkeley Square

City: W1j 5ng - Londra

Country: Regno Unito

Notification of Registration: n. 1048552 of 19/06/2001

Registration no.: 2098

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1048552 of 19/06/2001)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1048552 of 19/06/2001)

3) Services related to underwriting (Notification 1048552 of 19/06/2001)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 1048552 of 19/06/2001)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1048552 of 19/06/2001)

6) Placing of financial instruments without a firm commitment basis (Notification 1048552 of 19/06/2001)

7) Investment advice (Notification 1048552 of 19/06/2001)

8) Execution of orders on behalf of clients (Notification 1048552 of 19/06/2001)

9) Portfolio management (Notification 1048552 of 19/06/2001)

10) Dealing on own account (Notification 1048552 of 19/06/2001)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 1048552 of 19/06/2001)

12) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 05/11/2007)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HERMES EUROPEAN EQUITIES LIMITED

Registered office: Block D, The Old Truman Brewery 91 Brick Lane

City: E1 6ql - Londra

Country: Regno Unito

Notification of Registration: n. 8085531 of 16/09/2008

Registration no.: 2418

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8085531 of 16/09/2008)
2) Execution of orders on behalf of clients (Notification 8085531 of 16/09/2008)
3) Portfolio management (Notification 8085531 of 16/09/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8085531 of 16/09/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HERMES INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>150 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4070640 of 27/07/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1460</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11003690 of 20/01/2011)
2) Services related to underwriting (Notification 4070640 of 27/07/2004)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4070640 of 27/07/2004)
4) Execution of orders on behalf of clients (Notification 4070640 of 27/07/2004)
5) Portfolio management (Notification 4070640 of 27/07/2004)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 4070640 of 27/07/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HEYDER KRUEGER &amp; KOLLEGEN GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Muelheimer Strasse 6</td>
</tr>
<tr>
<td>City:</td>
<td>40878 - Ratingen</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12010706 of 14/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3356</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12010706 of 14/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HF MARKETS (EUROPE) LTD

Registered office: 50 Spirou Kyprianou

City: 6057 - Larnaca

Country: Cipro

Notification of Registration: n. 13028719 of 05/04/2013

Registration no.: 3673

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0029395/14 of 09/04/2014)
2) Investment advice (Notification 0080410/13 of 10/10/2013)
3) 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 (Notification 13028719 of 05/04/2013)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13028719 of 05/04/2013)
5) Execution of orders on behalf of clients (Notification 13028719 of 05/04/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13028719 of 05/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HF MARKETS (UK) LIMITED

Registered office: 495 Green Lanes Palmers Green

City: N134bs - Londra

Country: Regno Unito

Notification of Registration: n. 0536400/18 of 19/12/2018

Registration no.: 4913

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0536400/18 of 19/12/2018)
2) Execution of orders on behalf of clients (Notification 0536400/18 of 19/12/2018)
3) Dealing on own account (Notification 0536400/18 of 19/12/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0536400/18 of 19/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HFMC ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 St. John'S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1m 4na - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0078087/17 of 14/06/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4618</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0078087/17 of 14/06/2017)
2) Investment advice (Notification 0078087/17 of 14/06/2017)
3) Portfolio management (Notification 0078087/17 of 14/06/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078087/17 of 14/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HIDDEN ROAD PARTNERS CIV UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkeley Square House 2nd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0842018/19 of 27/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5148</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0842018/19 of 27/12/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0842018/19 of 27/12/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0842018/19 of 27/12/2019)

4) Execution of orders on behalf of clients (Notification 0842018/19 of 27/12/2019)

5) Dealing on own account (Notification 0842018/19 of 27/12/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0842018/19 of 27/12/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HIGHBREED CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>102 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6ee - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10012987 of 17/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2787</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10012987 of 17/02/2010)
2) Investment advice (Notification 10012987 of 17/02/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10012987 of 17/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HIGHBRIDGE CAPITAL MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5069914 of 24/10/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1599</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5069914 of 24/10/2005)
2) Execution of orders on behalf of clients (Notification 5069914 of 24/10/2005)
3) Portfolio management (Notification 5069914 of 24/10/2005)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 5069914 of 24/10/2005)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HIGHLAND EUROPE (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Golden Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 9jf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045883/15 of 05/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4182</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0045883/15 of 05/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HILBERT INVESTMENT SOLUTIONS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St. Clements House 27 Clement'S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093997/15 of 11/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4280</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093074/17 of 26/07/2017)
2) Investment advice (Notification 0093997/15 of 11/12/2015)
3) Execution of orders on behalf of clients (Notification 0093997/15 of 11/12/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093997/15 of 11/12/2015)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0370588/19 of 26/06/2019)
6) Portfolio management (Notification 0370588/19 of 26/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HILLTOP FUND MANAGEMENT LLP

Registered office: 6 Adam Street

City: WC2N 6AD - London

Country: Regno Unito

Notification of Registration: n. 11040473 of 09/05/2011

Registration no.: 3139

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11040473 of 09/05/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11040473 of 09/05/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11040473 of 09/05/2011)

4) Investment advice (Notification 11040473 of 09/05/2011)

5) Execution of orders on behalf of clients (Notification 11040473 of 09/05/2011)

6) Portfolio management (Notification 11040473 of 09/05/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11040473 of 09/05/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HINES EUROPE REAL ESTATE INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Old Burlington Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11035240 of 22/04/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3130</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11035240 of 22/04/2011)
2) Investment advice (Notification 11035240 of 22/04/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11035240 of 22/04/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HIROSE FINANCIAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m7ee - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11072624 of 19/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3233</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 11072624 of 19/08/2011)
2) Dealing on own account (Notification 11072624 of 19/08/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11072624 of 19/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HMS LUX SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>59 Rue Du Rollingergrund, 59</td>
</tr>
<tr>
<td>City:</td>
<td>L-2440 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3019099 of 25/03/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1351</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3019099 of 25/03/2003)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 3019099 of 25/03/2003)
3) Investment advice (Notification 3019099 of 25/03/2003)
4) Execution of orders on behalf of clients (Notification 3019099 of 25/03/2003)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 3019099 of 25/03/2003)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOARE CAPITAL MARKETS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/O Mark Wilson, 46 Clarendon Road</td>
</tr>
<tr>
<td>City:</td>
<td>Wd17 1jj - Watford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9083030 of 22/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2674</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093078/17 of 26/07/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10082701 of 07/10/2010)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10082701 of 07/10/2010)
4) Investment advice (Notification 10082701 of 07/10/2010)
5) Execution of orders on behalf of clients (Notification 9083030 of 22/09/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9083030 of 22/09/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOBART CAPITAL MARKETS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Grosvenor Gardens Sw1w 0dh</td>
</tr>
<tr>
<td>City:</td>
<td>Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049282/17 of 14/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4591</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0049282/17 of 14/04/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0049282/17 of 14/04/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0049282/17 of 14/04/2017)
4) Placing of financial instruments without a firm commitment basis (Notification 0049282/17 of 14/04/2017)
5) Investment advice (Notification 0049282/17 of 14/04/2017)
6) Execution of orders on behalf of clients (Notification 0049282/17 of 14/04/2017)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049282/17 of 14/04/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
The precautionary measure adopted by Consob, with effect from 10th December 2019, has imposed on Hoch Capital Ltd the prohibition to provide services in Italy, to solicit and acquire new clients in Italy and to continue relations with existing Italian clients, with the exception of the closure of their accounts (liquidation of outstanding positions and return of their funds to clients), in accordance with any instructions given by said clients (Consob Resolution n. 21171 of 05/12/2019)

Registered office: Griva Digeni & Kolonakiou 125 Grosvenor Tower
City: 3107 - Limassol
Country: Cipro
Notification of Registration: n. 0039758/14 of 14/05/2014
Registration no.: 3960

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0039547/15 of 18/05/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0039547/15 of 18/05/2015)
3) 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 (Notification 0039758/14 of 14/05/2014)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0039758/14 of 14/05/2014)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0039758/14 of 14/05/2014)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 0039758/14 of 14/05/2014)
7) Portfolio management (Notification 0039758/14 of 14/05/2014)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

### Investment Firm: Hogg Capital Investments Limited

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>1, St. Luke's Road</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Pta1020 - Pieta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13015191 of 22/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3640</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Placing of financial instruments without a firm commitment basis (Notification 13015191 of 22/02/2013)
2. Investment advice (Notification 13015191 of 22/02/2013)
3. Execution of orders on behalf of clients (Notification 13015191 of 22/02/2013)
4. Portfolio management (Notification 13015191 of 22/02/2013)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 13015191 of 22/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOLBORN ASSETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Block 2, Crossford Court, Dane Road</td>
</tr>
<tr>
<td>City:</td>
<td>M33 7bz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072568/15 of 17/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4234</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0072568/15 of 17/09/2015)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072568/15 of 17/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0005992/15 of 27/01/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0005992/15 of 27/01/2015)

3) Execution of orders on behalf of clients (Notification 0005992/15 of 27/01/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0005992/15 of 27/01/2015)

5) 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 (Notification 0131837/17 of 30/11/2017)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0131837/17 of 30/11/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOMEGROWN GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Wessex Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sl85dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105326/16 of 28/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4513</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105326/16 of 28/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HORUS MALTA LIMITED
Voluntary suspension of authorization to carry out investment services effective from 31/01/2018

Registered office: 171 Old Bakery Street
City: Vlt1455 - Valletta
Country: Malta
Notification of Registration: n. 0018441/16 of 01/03/2016
Registration no.: 4336

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0018441/16 of 01/03/2016)
2) Investment advice (Notification 0018441/16 of 01/03/2016)
3) Execution of orders on behalf of clients (Notification 0018441/16 of 01/03/2016)
4) Portfolio management (Notification 0018441/16 of 01/03/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018441/16 of 01/03/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>HOTTINGER INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>37-41 Old Queen Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sw1h 9ja - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 2029844 of 30/04/2002</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1268</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2029844 of 30/04/2002)
2) Portfolio management (Notification 2029844 of 30/04/2002)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 2029844 of 30/04/2002)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOULIHAN LOKEY (CORPORATE FINANCE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>77 Shaftesbury Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>W1d 5du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10065906 of 27/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2928</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0027883/18 of 05/02/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0027883/18 of 05/02/2018)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10065906 of 27/07/2010)
4) Investment advice (Notification 10065906 of 27/07/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HOULIHAN LOKEY EMEA LLP

Registered office: 1 Curzon Street

City: W1j 5hd - Londra

Country: Regno Unito

Notification of Registration: n. 3023999 of 15/04/2003

Registration no.: 1360

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3023999 of 15/04/2003)

2) Investment advice (Notification 3023999 of 15/04/2003)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3023999 of 15/04/2003)

4) Placing of financial instruments without a firm commitment basis (Notification 5002380 of 18/01/2005)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

6) Services related to underwriting (Notification 8037217 of 22/04/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOUSE OF BORSE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0127525/17 of 16/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4712</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0127525/17 of 16/11/2017)
2) Dealing on own account (Notification 0127525/17 of 16/11/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0127525/17 of 16/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOWARD WRIGHT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Waterloo Road</td>
</tr>
<tr>
<td>City:</td>
<td>Wv1 4bl - West Midlands</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11027020 of 01/04/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3119</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11027020 of 01/04/2011)
2) Investment advice (Notification 11027020 of 01/04/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11027020 of 01/04/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HOXTON CAPITAL MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Old Free School George Street Hertfordshire</td>
</tr>
<tr>
<td>City:</td>
<td>Wd18 0bx - Watford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0772605/19 of 03/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5135</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0772605/19 of 03/12/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0772605/19 of 03/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HPC INVESTMENT PARTNERS LTD

Registered office: 50 Cannon Street

City: Ec4n 6jj - Londra

Country: Regno Unito

Notification of Registration: n. 0161093/18 of 21/05/2018

Registration no.: 4826

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0161093/18 of 21/05/2018)
2) Placing of financial instruments without a firm commitment basis (Notification 0161093/18 of 21/05/2018)
3) Investment advice (Notification 0161093/18 of 21/05/2018)
4) Execution of orders on behalf of clients (Notification 0161093/18 of 21/05/2018)
5) Dealing on own account (Notification 0161093/18 of 21/05/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0161093/18 of 21/05/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HPC SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Rue Des Capucines</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97086091 of 17/12/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>656</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0057318/18 of 02/03/2018)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0105656/16 of 29/11/2016)
3) Placing of financial instruments without a firm commitment basis (Notification 0105656/16 of 29/11/2016)
4) Investment advice (Notification 0105656/16 of 29/11/2016)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8024956 of 21/03/2008)
6) Dealing on own account (Notification 8024956 of 21/03/2008)
7) Execution of orders on behalf of clients (Notification 97086091 of 17/12/1997)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 97086091 of 17/12/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HPS INVESTMENT PARTNERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8083551 of 09/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2412</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8083551 of 09/09/2008)
2) Investment advice (Notification 8083551 of 09/09/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8083551 of 09/09/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0037026/14 of 06/05/2014)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0037026/14 of 06/05/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HQ TRUST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Am Pilgerrain 17</td>
</tr>
<tr>
<td>City:</td>
<td>61352 - Bad Homburg</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083664/16 of 19/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4468</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0083664/16 of 19/09/2016)
2) Execution of orders on behalf of clients (Notification 0083664/16 of 19/09/2016)
3) Portfolio management (Notification 0083664/16 of 19/09/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083664/16 of 19/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Register of EU Investment Firms: Without Branches**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HRTEU Limited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Brickhouse Mount Street Lower Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>D02cf97 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0162992/19 of 27/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4995</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0162992/19 of 27/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HSBC ALTERNATIVE INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>78 St James Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5026172 of 18/04/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1541</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5026172 of 18/04/2005)
2) Portfolio management (Notification 5026172 of 18/04/2005)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7093824 of 01/11/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HSBC FINANCIAL PRODUCTS (FRANCE)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>103 Avenue Des Champs Elysees</td>
</tr>
<tr>
<td>City:</td>
<td>75419 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2059001 of 29/08/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1294</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2059001 of 29/08/2002)
2) Services related to underwriting (Notification 2059001 of 29/08/2002)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 2059001 of 29/08/2002)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 2059001 of 29/08/2002)
5) Placing of financial instruments without a firm commitment basis (Notification 2059001 of 29/08/2002)
6) Execution of orders on behalf of clients (Notification 2059001 of 29/08/2002)
7) Dealing on own account (Notification 2059001 of 29/08/2002)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 2059001 of 29/08/2002)
9) Investment advice (Notification 8024956 of 21/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HSBC GLOBAL ASSET MANAGEMENT (DEUTSCHLAND) GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Koenigsallee 21/23</td>
</tr>
<tr>
<td>City:</td>
<td>40212 - Dusseldorf</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8063903 of 07/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2367</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8063903 of 07/07/2008)
2) Portfolio management (Notification 8063903 of 07/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8063903 of 07/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HSBC VAN MEER JAMES CAPEL N.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 466</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Ca - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97035546 of 07/05/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>614</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 97035546 of 07/05/1997)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97035546 of 07/05/1997)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 97035546 of 07/05/1997)
4) Services related to underwriting (Notification 97035546 of 07/05/1997)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 97035546 of 07/05/1997)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 97035546 of 07/05/1997)
7) Placing of financial instruments without a firm commitment basis (Notification 97035546 of 07/05/1997)
8) Investment advice (Notification 97035546 of 07/05/1997)
9) Execution of orders on behalf of clients (Notification 97035546 of 07/05/1997)
10) Portfolio management (Notification 97035546 of 07/05/1997)
11) Dealing on own account (Notification 97035546 of 07/05/1997)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 97035546 of 07/05/1997)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HTFX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Fore Street Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0245592/19 of 06/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5028</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0245592/19 of 06/05/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0245592/19 of 06/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUA REN (CIPRO) FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>67 Franklin Rousvelt Avenue, Lima Carna Building</td>
</tr>
<tr>
<td>City:</td>
<td>3011 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0644675/19 of 21/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5128</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0644675/19 of 21/10/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0644675/19 of 21/10/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0644675/19 of 21/10/2019)

4) Execution of orders on behalf of clients (Notification 0644675/19 of 21/10/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0644675/19 of 21/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUB CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43-45 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8074019 of 04/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2382</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0031457/15 of 24/04/2015)
2) Portfolio management (Notification 0031457/15 of 24/04/2015)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8074019 of 04/08/2008)
4) Investment advice (Notification 8074019 of 04/08/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8074019 of 04/08/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **HUBER & CO LTD**

Registered office: 210 Neptune House - Po. Box 300 - Marina Bay

City: - Gibilterra

Country: Gibilterra

Notification of Registration: n. 10049670 of 28/05/2010

Registration no.: 2875

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10049670 of 28/05/2010)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10049670 of 28/05/2010)

3) Investment advice (Notification 10049670 of 28/05/2010)

4) Execution of orders on behalf of clients (Notification 10049670 of 28/05/2010)

5) Portfolio management (Notification 10049670 of 28/05/2010)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10049670 of 28/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUBER &amp; PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Skyway Offices Block C 179</td>
</tr>
<tr>
<td>City:</td>
<td>- Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547755/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4922</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0547755/18 of 27/12/2018)

2) Placing of financial instruments without a firm commitment basis (Notification 0547755/18 of 27/12/2018)

3) Investment advice (Notification 0547755/18 of 27/12/2018)

4) Execution of orders on behalf of clients (Notification 0547755/18 of 27/12/2018)

5) Portfolio management (Notification 0547755/18 of 27/12/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547755/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUDSON ADVISORS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Dominion Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 2ef - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10085736 of 20/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2997</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10085736 of 20/10/2010)
2) Investment advice (Notification 10085736 of 20/10/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10085736 of 20/10/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUDSON RIVER TRADING EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10th Floor - Tower 42</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 75457/13 of 20/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3818</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 75457/13 of 20/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HUME CAPITAL SECURITIES PLC

Registered office: 1 Carey Lane

City: Ec2v8ae - Londra

Country: Regno Unito

Notification of Registration: n. 0060218/13 of 12/07/2013

Registration no.: 3749

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0060218/13 of 12/07/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0060218/13 of 12/07/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0060218/13 of 12/07/2013)

4) Services related to underwriting (Notification 0060218/13 of 12/07/2013)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0060218/13 of 12/07/2013)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0060218/13 of 12/07/2013)

7) Placing of financial instruments without a firm commitment basis (Notification 0060218/13 of 12/07/2013)

8) Investment advice (Notification 0060218/13 of 12/07/2013)

9) Execution of orders on behalf of clients (Notification 0060218/13 of 12/07/2013)

10) Portfolio management (Notification 0060218/13 of 12/07/2013)

11) Dealing on own account (Notification 0060218/13 of 12/07/2013)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060218/13 of 12/07/2013)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HUTCHINSON LILLEY INVESTMENTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Portland Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1b1qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065557/16 of 14/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4425</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065557/16 of 14/07/2016)
2) Investment advice (Notification 0065557/16 of 14/07/2016)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

#### (DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HYBRIDAN LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Ironmonger Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7046460 of 22/05/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1795</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 7046460 of 22/05/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HYCM (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Spyrou Kuprianou Avenue Mesa Geitonia</td>
</tr>
<tr>
<td>City:</td>
<td>4001 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0026384/15 of 07/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4394</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0026384/15 of 07/04/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0026384/15 of 07/04/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0026384/15 of 07/04/2015)

4) Execution of orders on behalf of clients (Notification 0026384/15 of 07/04/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0026384/15 of 07/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HYCROFT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Hill Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5lj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10086693 of 25/10/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3001</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10086693 of 25/10/2010)
2) Placing of financial instruments without a firm commitment basis (Notification 10086693 of 25/10/2010)
3) Investment advice (Notification 10086693 of 25/10/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10086693 of 25/10/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Investment firm:

<table>
<thead>
<tr>
<th>Investment firm</th>
<th>HYDE PARK INVESTMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St. James’ S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9013908 of 12/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2523</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 9013908 of 12/02/2009)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 9013908 of 12/02/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HYDRA CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5/6 St. Andrews Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 5by - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96070851 of 02/09/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>573</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96070851 of 02/09/1996)
3) Execution of orders on behalf of clients (Notification 96070851 of 02/09/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96070851 of 02/09/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>HYPERION ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Austrasse 49</td>
</tr>
<tr>
<td>City:</td>
<td>FL9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040833/16 of 05/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4420</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0040833/16 of 05/05/2016)
2) Investment advice (Notification 0040833/16 of 05/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: HYWIN WEALTH LLP

Registered office: 1 Duke Street

City: W1u 3et - Londra

Country: Regno Unito

Notification of Registration: n. 11061916 of 11/07/2011

Registration no.: 3196

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11061916 of 11/07/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11061916 of 11/07/2011)
3) Investment advice (Notification 11061916 of 11/07/2011)
4) Execution of orders on behalf of clients (Notification 11061916 of 11/07/2011)
5) Portfolio management (Notification 11061916 of 11/07/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11061916 of 11/07/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>H2O MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4uj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10096900 of 24/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3024</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10096900 of 24/11/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10096900 of 24/11/2010)

3) Investment advice (Notification 10096900 of 24/11/2010)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10096900 of 24/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

**Date:** 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IAM INVEST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Hill Street Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 33097 of 04/05/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1007</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Foreign exchange services where these are connected to the provision of investment services (Notification 33097 of 04/05/2000)
2. Investment advice (Notification 33097 of 04/05/2000)
3. Execution of orders on behalf of clients (Notification 33097 of 04/05/2000)
4. Portfolio management (Notification 33097 of 04/05/2000)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 33097 of 04/05/2000)
6. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IBEX COMMODITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>High Street Tunbridge Wells</td>
</tr>
<tr>
<td>City:</td>
<td>Tn1 1xl - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0220592/18 of 25/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4844</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0220592/18 of 25/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IBKR EUROPE S.A’R.L.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Rue Robert Stumper</td>
</tr>
<tr>
<td>City:</td>
<td>L-2557 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0796358/19 of 11/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5139</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0796358/19 of 11/12/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0796358/19 of 11/12/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0796358/19 of 11/12/2019)

4) Execution of orders on behalf of clients (Notification 0796358/19 of 11/12/2019)

5) Dealing on own account (Notification 0796358/19 of 11/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IBP MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>81 Wimpole Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9re - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059120 of 09/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3742</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0059120 of 09/07/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059120 of 09/07/2013)
3) Dealing on own account (Notification 0085437/17 of 04/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: IBROKER GLOBAL MARKETS, S.V., S.A.

Registered office: C/ Caleruega 102-104, Planta Baja A

City: 28033 - Madrid

Country: Spagna

Notification of Registration: n. 0011315/19 of 08/01/2019

Registration no.: 4933

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0011315/19 of 08/01/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0011315/19 of 08/01/2019)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011315/19 of 08/01/2019)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0011315/19 of 08/01/2019)

5) Execution of orders on behalf of clients (Notification 0011315/19 of 08/01/2019)

6) Portfolio management (Notification 0011315/19 of 08/01/2019)

7) Dealing on own account (Notification 0011315/19 of 08/01/2019)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011315/19 of 08/01/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0527960/18 of 14/12/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0527960/18 of 14/12/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0527960/18 of 14/12/2018)

4) Execution of orders on behalf of clients (Notification 0527960/18 of 14/12/2018)

5) Dealing on own account (Notification 0527960/18 of 14/12/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0527960/18 of 14/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP ENERGY AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Storetveitvegen 96</td>
</tr>
<tr>
<td>City:</td>
<td>5072 - Bergen</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11015780 of 02/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3099</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 11015780 of 02/03/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11015780 of 02/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP ENERGY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7089136 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1896</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0140877/17 of 03/01/2018)
2) Execution of orders on behalf of clients (Notification 12098511 of 20/12/2012)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7089136 of 01/11/2007)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7089136 of 01/11/2007)
5) Investment advice (Notification 7089136 of 01/11/2007)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7089136 of 01/11/2007)
7) Operation of Multilateral Trading Facilities (Notification 7089136 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7089137 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2095</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7089137 of 01/11/2007)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7089137 of 01/11/2007)
3) Investment advice (Notification 7089137 of 01/11/2007)
4) Execution of orders on behalf of clients (Notification 7089137 of 01/11/2007)
5) Operation of an MTF (Notification 7089137 of 01/11/2007)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7089137 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP GLOBAL DERIVATIVES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 39899 of 24/05/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1015</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 001543/14 of 09/01/2014)
2) Execution of orders on behalf of clients (Notification 39899 of 24/05/2000)
3) Operation of Multilateral Trading Facilities (Notification 7089139 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
ICAP SCANDINAVIA FONDSMAEGLERSELSKAB A/S

Registered office: Rentemestervej 14

City: 2400 - Kobenhavn

Country: Danimarca

Notification of Registration: n. 13000947 of 07/01/2013

Registration no.: 3596

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 13000947 of 07/01/2013)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000947 of 07/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>128</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0000131/18 of 03/01/2018)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2004184 of 23/01/2002)
3) Investment advice (Notification 2004184 of 23/01/2002)
4) Execution of orders on behalf of clients (Notification 2004184 of 23/01/2002)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 2004184 of 23/01/2002)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7089140 of 01/11/2007)
7) Operation of Multilateral Trading Facilities (Notification 7089140 of 01/11/2007)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
9) Dealing on own account (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICAP WCLK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002194/18 of 09/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4749</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0002194/18 of 09/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICC INTERCERTUS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Antheon 2, Monovoliko, Kato Polemidia</td>
</tr>
<tr>
<td>City:</td>
<td>4151 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099707/16 of 08/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4500</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0031774/17 of 10/03/2017)
2) Dealing on own account (Notification 0031774/17 of 10/03/2017)
3) 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 (Notification 0256106/18 of 13/07/2018)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0256106/18 of 13/07/2018)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 0256106/18 of 13/07/2018)
6) Execution of orders on behalf of clients (Notification 0256106/18 of 13/07/2018)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0256106/18 of 13/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICE DATA DESKTOP SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13-17 Epworth Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9003758 of 15/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2507</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 9003758 of 15/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICE DRAGONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Highpoint Business Village, Henwood, Ashford</td>
</tr>
<tr>
<td>City:</td>
<td>Tn24 8dh - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069634/13 of 19/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3774</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0069634/13 of 19/08/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069634/13 of 19/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICE MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Chiswell Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1y 4sa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9072450 of 03/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2647</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9072450 of 03/08/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9072450 of 03/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICF MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Mayfield Lane, East Sussex</td>
</tr>
<tr>
<td>City:</td>
<td>Tn5 6hx - Wadhurst</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103180 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2067</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7103180 of 21/11/2007)
2) Investment advice (Notification 7103180 of 21/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103180 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ICFD LTD

Registered office: Corner Of Agiou Andreou & Venizelou Streets,

City: 3035 - Limassol

Country: Cipro

Notification of Registration: n. 11076872 of 09/09/2011

Registration no.: 3252

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0041794/14 of 20/05/2014)

2) 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 (Notification 11076872 of 09/09/2011)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11076872 of 09/09/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11076872 of 09/09/2011)

5) Execution of orders on behalf of clients (Notification 11076872 of 09/09/2011)

6) Dealing on own account (Notification 11076872 of 09/09/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076872 of 09/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
ICM CAPITAL LIMITED

Investment firm: ICM CAPITAL LIMITED

Registered office: 36 Alie Street

City: W1 8da - Londra

Country: Regno Unito

Notification of Registration: n. 11073349 of 24/08/2011

Registration no.: 3237

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0258945/18 of 16/07/2018)

2) Execution of orders on behalf of clients (Notification 0258945/18 of 16/07/2018)

3) Dealing on own account (Notification 0258945/18 of 16/07/2018)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11073349 of 24/08/2011)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 11073349 of 24/08/2011)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11073349 of 24/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICM INVESTMENTBANK AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Meinkestrasse 26</td>
</tr>
<tr>
<td>City:</td>
<td>10719 - Berlino</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0008273/16 of 29/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4312</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0008273/16 of 29/01/2016)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0008273/16 of 29/01/2016)
3) Placing of financial instruments without a firm commitment basis (Notification 0008273/16 of 29/01/2016)
4) Investment advice (Notification 0008273/16 of 29/01/2016)
5) Execution of orders on behalf of clients (Notification 0008273/16 of 29/01/2016)
6) Portfolio management (Notification 0008273/16 of 29/01/2016)
7) Dealing on own account (Notification 0008273/16 of 29/01/2016)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0008273/16 of 29/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ICON INFRASTRUCTURE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12035034 of 30/04/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3406</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12035034 of 30/04/2012)
2) Investment advice (Notification 12035034 of 30/04/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12035034 of 30/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IDP FINANCIAL SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45-55 Norvin House Commercial Street</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195251/19 of 10/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5014</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0195251/19 of 10/04/2019)
2) Placing of financial instruments without a firm commitment basis (Notification 0195251/19 of 10/04/2019)
3) Investment advice (Notification 0195251/19 of 10/04/2019)
4) Execution of orders on behalf of clients (Notification 0195251/19 of 10/04/2019)
5) Portfolio management (Notification 0195251/19 of 10/04/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0195251/19 of 10/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Register of EU Investment Firms: Without Branches
(Date 10/01/2020)

Investment firm: IFC Investments Cyprus Ltd

Registered office: 242, Arch. Makariou III, P. Lordos Centre, Block A

City: Limassol

Country: Cyprus

Notification of Registration: n. 0128267/17 of 17/11/2017

Registration no.: 4716

Services Provided in Italy

1) 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 (Notification 0060919/18 of 06/03/2018)

2) Execution of orders on behalf of clients (Notification 0060919/18 of 06/03/2018)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060919/18 of 06/03/2018)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0128267/17 of 17/11/2017)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0128267/17 of 17/11/2017)

6) Investment advice (Notification 0128267/17 of 17/11/2017)

7) Portfolio management (Notification 0128267/17 of 17/11/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IFCM CYPRUS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6, Marinou Geroulanou Street</td>
</tr>
<tr>
<td>City:</td>
<td>4154 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12054625 of 28/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3459</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0060713/19 of 05/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IFM INVESTORS (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor, 60 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v7bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8069260 of 23/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2363</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8069260 of 23/07/2008)
2) Investment advice (Notification 8069260 of 23/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8069260 of 23/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IG INDEX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cannon Bridge House 25 Dowgate Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 2ya - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>154</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7103455 of 21/11/2007)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 7103455 of 21/11/2007)

3) Dealing on own account (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IG MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cannon Bridge House 25 Dowgate Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 2ya - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1026230 of 10/04/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1114</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1026230 of 10/04/2001)  
2) Execution of orders on behalf of clients (Notification 1026230 of 10/04/2001)  
3) Dealing on own account (Notification 1026230 of 10/04/2001)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1026230 of 10/04/2001)  
5) Portfolio management (Notification 4057596 of 16/06/2004)  
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7093500 of 01/11/2007)  
7) Foreign exchange services where these are connected to the provision of investment services (Notification 7093500 of 01/11/2007)  
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0069766/17 of 23/05/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0069766/17 of 23/05/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069766/17 of 23/05/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0069766/17 of 23/05/2017)

5) Execution of orders on behalf of clients (Notification 0069766/17 of 23/05/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069766/17 of 23/05/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IGNIS INVESTMENT SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 St Andrew Square</td>
</tr>
<tr>
<td>City:</td>
<td>Eh22bd - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2047289 of 05/07/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1297</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 2047289 of 05/07/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6097946 of 13/12/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IICAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Devonshire House 1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025289/16 of 23/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4347</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0025289/16 of 23/03/2016)
2) Investment advice (Notification 0025289/16 of 23/03/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025289/16 of 23/03/2016)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IIFL WEALTH (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Basinghall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 5de - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11010866 of 16/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3075</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11010866 of 16/02/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11010866 of 16/02/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 11010866 of 16/02/2011)
4) Placing of financial instruments without a firm commitment basis (Notification 11010866 of 16/02/2011)
5) Investment advice (Notification 11010866 of 16/02/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010866 of 16/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: IIG FINANCIAL SERVICES LIMITED

Registered office: 3 Irish Place

City: - Gibrilterra

Country: Gibrilterra

Notification of Registration: n. 13022788 of 21/03/2013

Registration no.: 3664

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13022788 of 21/03/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13022788 of 21/03/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 13022788 of 21/03/2013)

4) Investment advice (Notification 13022788 of 21/03/2013)

5) Execution of orders on behalf of clients (Notification 13022788 of 21/03/2013)

6) Portfolio management (Notification 13022788 of 21/03/2013)

7) Dealing on own account (Notification 13022788 of 21/03/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13022788 of 21/03/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IK INVESTMENT PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lancaster Place</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 7en - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8085536 of 16/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2416</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8085536 of 16/09/2008)
2) Investment advice (Notification 8085536 of 16/09/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8085536 of 16/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IKON FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6th Floor, 106 Leadenhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 4aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11076394 of 07/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3244</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0093840/17 of 27/07/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11076394 of 07/09/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 11076394 of 07/09/2011)
4) Execution of orders on behalf of clients (Notification 11076394 of 07/09/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076394 of 07/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ILLIQUIDX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Fleet Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 1el - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040829/16 of 05/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4375</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0040829/16 of 05/05/2016)
2) Execution of orders on behalf of clients (Notification 0040829/16 of 05/05/2016)
3) Dealing on own account (Notification 0040829/16 of 05/05/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0040829/16 of 05/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IMC TRADING BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strawinskylaan 377</td>
</tr>
<tr>
<td>City:</td>
<td>1077 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9051204 of 29/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2602</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 9051204 of 29/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IMPAX ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Panton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y4aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074514/14 of 18/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5071</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0074514/14 of 18/09/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0074514/14 of 18/09/2014)
3) Investment advice (Notification 0074514/14 of 18/09/2014)
4) Execution of orders on behalf of clients (Notification 0074514/14 of 18/09/2014)
5) Portfolio management (Notification 0074514/14 of 18/09/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074514/14 of 18/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IMPERIAL CAPITAL (INTERNATIONAL) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Eagle Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009617 of 05/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3626</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 13009617 of 05/02/2013)
2) Investment advice (Notification 13009617 of 05/02/2013)
3) Execution of orders on behalf of clients (Notification 13009617 of 05/02/2013)
4) Dealing on own account (Notification 13009617 of 05/02/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009617 of 05/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENCE WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Buryas Bridge Penzance</td>
</tr>
<tr>
<td>City:</td>
<td>Tr19 6as - Cornwall</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7104922 of 28/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2062</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7104922 of 28/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7104922 of 28/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENT FINANCIAL ADVISOR LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Investment House, Bolton Road</td>
</tr>
<tr>
<td>City:</td>
<td>BL2 3eu - Bolton</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12061809 of 24/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3474</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0010848/14 of 10/02/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12061809 of 24/07/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENT FINANCIAL SERVICES 4 YOU LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>201 Rodbourne Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sn2 2aa - Swindon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12020623 of 21/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3385</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12020623 of 21/03/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12020623 of 21/03/2012)

3) Investment advice (Notification 12020623 of 21/03/2012)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020623 of 21/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENT FRANCHISE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6az - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9059787 of 26/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2615</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9059787 of 26/06/2009)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 9059787 of 26/06/2009)
3) Investment advice (Notification 9059787 of 26/06/2009)
4) Execution of orders on behalf of clients (Notification 9059787 of 26/06/2009)
5) Portfolio management (Notification 9059787 of 26/06/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9059787 of 26/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENT RISK MANAGEMENT SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beacon Hill Fir Cottage</td>
</tr>
<tr>
<td>City:</td>
<td>Cm8 3ea - Witham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086005/13 of 30/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3842</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086005/13 of 30/10/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0086005/13 of 30/10/2013)
3) Investment advice (Notification 0086005/13 of 30/10/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086005/13 of 30/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEPENDENT WEALTH MANAGEMENT CONSULTANTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Exchange Street Retford</td>
</tr>
<tr>
<td>City:</td>
<td>Dn22 6bl - Nottingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7106679 of 04/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2040</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7106679 of 04/12/2007)
2) Investment advice (Notification 7106679 of 04/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7106679 of 04/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** INDEPENDENT WHOLESALE BROKERAGE B.V.

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Paleisstraat 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>1012 Rb - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1057770 of 27/07/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1160</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 1057770 of 27/07/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDEXUS GROEP B.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>De Entree 97, Amsterdam Zuidoost</td>
</tr>
<tr>
<td>City:</td>
<td>1101 Bh - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074792/13 of 17/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3813</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0074792/13 of 17/09/2013)
2) Investment advice (Notification 0074792/13 of 17/09/2013)
3) Execution of orders on behalf of clients (Notification 0074792/13 of 17/09/2013)
4) Portfolio management (Notification 0074792/13 of 17/09/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074792/13 of 17/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INDICATION INVESTMENTS LTD

Registered office: Iakovou Tompazi 1
City: 3107 - Limassol
Country: Cipro
Notification of Registration: n. 12052101 of 20/06/2012
Registration no.: 3456

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12052101 of 20/06/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12052101 of 20/06/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12052101 of 20/06/2012)

4) Execution of orders on behalf of clients (Notification 12052101 of 20/06/2012)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12052101 of 20/06/2012)

6) Dealing on own account (Notification 12073248 of 11/09/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INDIGO GLOBAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Crown Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9010629 of 30/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2517</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0093788/17 of 27/07/2017)
2) Execution of orders on behalf of clients (Notification 9010629 of 30/01/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9010629 of 30/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **INFINITO POSITIVO LTD**

Registered office: 17 Queensmill Road

City: Sw6 6jp - Londra

Country: Regno Unito

Notification of Registration: n. 0159674/19 of 26/03/2019

Registration no.: 4985

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0159674/19 of 26/03/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159674/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INFINITY INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0614324/19 of 09/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5119</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0614324/19 of 09/10/2019)
2) Investment advice (Notification 0614324/19 of 09/10/2019)
3) Execution of orders on behalf of clients (Notification 0614324/19 of 09/10/2019)
4) Dealing on own account (Notification 0614324/19 of 09/10/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0614324/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INFINOX CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Birchin Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11066189 of 26/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3209</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 11066189 of 26/07/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11066189 of 26/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INFUSIVE MD LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Panton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0792101/19 of 10/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5137</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0792101/19 of 10/12/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0792101/19 of 10/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ING REAL ESTATE SELECT GLOBAL HOLDING B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schenkkade 65</td>
</tr>
<tr>
<td>City:</td>
<td>2595 - Aa’S Gravenhage The Hague</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11013142 of 24/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3082</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 11013142 of 24/02/2011)
2) Portfolio management (Notification 11013142 of 24/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INITIAL MERIT SECURE LTD

Registered office: 3, Pythagora Street, Pythagoras Court, 4th Floor

City: 3027 - Limassol

Country: Cipro

Notification of Registration: n. 0052148/14 of 20/06/2014

Registration no.: 3983

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0052148/14 of 20/06/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0052148/14 of 20/06/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0052148/14 of 20/06/2014)

4) Execution of orders on behalf of clients (Notification 0052148/14 of 20/06/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0052148/14 of 20/06/2014)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0067687/16 of 21/07/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INNOVATOR CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Dering Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5016419 of 16/03/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1529</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5016419 of 16/03/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5016419 of 16/03/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSIGHT INVESTMENT INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5047381 of 05/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1559</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 5047381 of 05/07/2005)
2) Investment advice (Notification 5047381 of 05/07/2005)
3) Execution of orders on behalf of clients (Notification 5047381 of 05/07/2005)
4) Portfolio management (Notification 5047381 of 05/07/2005)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 5047381 of 05/07/2005)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSIGHT INVESTMENT MANAGEMENT (GLOBAL) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>160 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v4la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>882</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5042040 of 09/06/2005)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092041 of 01/11/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96056590 of 01/07/1996)
5) Services related to underwriting (Notification 96056590 of 01/07/1996)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)
7) Investment advice (Notification 96056590 of 01/07/1996)
8) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
9) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSIGHT INVESTMENT RESEARCH LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Odessa Street, New Caledonian Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>Se16 7tn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099238/13 of 30/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3883</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0099238/13 of 30/12/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099238/13 of 30/12/2013)

3) Investment advice (Notification 0099238/13 of 30/12/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSTANT TRADING EU LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23a, Spetson, Leda Court, Mesa Geitonia</td>
</tr>
<tr>
<td>City:</td>
<td>4000 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094366/15 of 14/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4281</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0043023/16 of 11/05/2016)
2) 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 (Notification 0094366/15 of 14/12/2015)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0094366/15 of 14/12/2015)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0094366/15 of 14/12/2015)
5) Execution of orders on behalf of clients (Notification 0094366/15 of 14/12/2015)
6) Dealing on own account (Notification 0094366/15 of 14/12/2015)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094366/15 of 14/12/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: INSTINET EUROPE LIMITED

Registered office: 1 Angel Lane

City: Ec4r 3ab - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 162

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7070398 of 27/07/2007)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Operation of an MTF (Notification 7103103 of 21/11/2007)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Dealing on own account (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSTINET GERMANY GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rathenauplatz 1</td>
</tr>
<tr>
<td>City:</td>
<td>60313 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0159702/19 of 26/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4989</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0159702/19 of 26/03/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159702/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSTITUTIONAL CASH DISTRIBUTORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0113028/18 of 17/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4809</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0113028/18 of 17/04/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INSTITUUT VOOR BELEGGINGSSTRATEGIE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Joan Muyskenheg 4</td>
</tr>
<tr>
<td>City:</td>
<td>1096 Cj - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99043085 of 28/05/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>789</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99043085 of 28/05/1999)

2) Investment advice (Notification 99043085 of 28/05/1999)

3) Dealing on own account (Notification 99043085 of 28/05/1999)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99043085 of 28/05/1999)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTEGER ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>83 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0148951/18 of 11/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4823</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0148951/18 of 11/05/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0148951/18 of 11/05/2018)
3) Investment advice (Notification 0148951/18 of 11/05/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0148951/18 of 11/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: INTEGRA CAPITAL LIMITED

Registered office: 10 Margaret Street

City: W1w 8rl - Londra

Country: Regno Unito

Notification of Registration: n. 0495495/19 of 22/08/2019

Registration no.: 5069

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0495495/19 of 22/08/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0495495/19 of 22/08/2019)

3) Services related to underwriting (Notification 0495495/19 of 22/08/2019)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0495495/19 of 22/08/2019)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0495495/19 of 22/08/2019)

6) Placing of financial instruments without a firm commitment basis (Notification 0495495/19 of 22/08/2019)

7) Investment advice (Notification 0495495/19 of 22/08/2019)

8) Execution of orders on behalf of clients (Notification 0495495/19 of 22/08/2019)

9) Portfolio management (Notification 0495495/19 of 22/08/2019)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495495/19 of 22/08/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTEGRA PRIVATE WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>228, Tower Road</td>
</tr>
<tr>
<td>City:</td>
<td>Slm 1601 - Sliema</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081119/13 of 14/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3829</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0081119/13 of 14/10/2013)
2) Investment advice (Notification 0081119/13 of 14/10/2013)
3) Portfolio management (Notification 0081119/13 of 14/10/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081119/13 of 14/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTEGRADVISORY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6/2 Sir William Reid Street</td>
</tr>
<tr>
<td>City:</td>
<td>Gzr 1038 - Gzira</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9076509 of 21/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2663</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9076509 of 21/08/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9076509 of 21/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INTEGRAL ASSET MANAGEMENT LTD

Registered office: 9 Daniels Court

City: Ct5 1et - Kent

Country: Regno Unito

Notification of Registration: n. 10100558 of 07/12/2010

Registration no.: 3037

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10100558 of 07/12/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10100558 of 07/12/2010)

3) Investment advice (Notification 10100558 of 07/12/2010)

4) Portfolio management (Notification 10100558 of 07/12/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10100558 of 07/12/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INTEGRAL DEVELOPMENT CORPORATION (EUROPE) LTD

Registered office: 25 Old Broad Street

City: Ec2n 1hq - Londra

Country: Regno Unito

Notification of Registration: n. 7063817 of 10/07/2007

Registration no.: 1812

SERVICES PROVIDED IN ITALY

1) Operation of an MTF (Notification 0141047/17 of 03/01/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7063817 of 10/07/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTEGRATED FINANCIAL ARRANGEMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Clement'S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8035403 of 16/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2284</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8035403 of 16/04/2008)

2) Execution of orders on behalf of clients (Notification 8035403 of 16/04/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8035403 of 16/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INTERACTIVE BROKERS (UK) LTD

Registered office: 110 Bishopsgate, 20th Floor

City: Ec2n4ay - Londra

Country: Regno Unito

Notification of Registration: n. 2010377 of 15/02/2002

Registration no.: 1233

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11062237 of 12/07/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11062237 of 12/07/2011)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11062237 of 12/07/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11062237 of 12/07/2011)

5) Execution of orders on behalf of clients (Notification 2010377 of 15/02/2002)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 2010377 of 15/02/2002)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERACTIVE INVESTOR SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Exchange Court - Duncombe Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ls1 4ax - Leeds</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>127</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) 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 (Notification 96000620 of 03/01/1996)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
6) Dealing on own account (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERC CONSULTANCY PARTNERS UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Silverthorne Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw83he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13038748 of 07/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3699</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13038748 of 07/05/2013)

2) Investment advice (Notification 13038748 of 07/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTEREST &amp; CURRENCY CONSULTANTS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lange Viestraat 333</td>
</tr>
<tr>
<td>City:</td>
<td>3511 Bk - Utrecht</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11057756 of 27/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3187</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11057756 of 27/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERKAPITAL VRIJEDNOSNI PAPIRI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Masarykova 1</td>
</tr>
<tr>
<td>City:</td>
<td>Hr 10000 - Zagabria</td>
</tr>
<tr>
<td>Country:</td>
<td>Croazia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054394/16 of 10/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4404</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0054394/16 of 10/06/2016)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0054394/16 of 10/06/2016)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0054394/16 of 10/06/2016)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0054394/16 of 10/06/2016)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0054394/16 of 10/06/2016)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0054394/16 of 10/06/2016)

7) Placing of financial instruments without a firm commitment basis (Notification 0054394/16 of 10/06/2016)

8) Investment advice (Notification 0054394/16 of 10/06/2016)

9) Execution of orders on behalf of clients (Notification 0054394/16 of 10/06/2016)

10) Dealing on own account (Notification 0054394/16 of 10/06/2016)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054394/16 of 10/06/2016)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** INTERMEDIATE CAPITAL GROUP BENELUX B.V.

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Paulus Potterstraat 20 2hg</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>1071da - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
</tbody>
</table>

**Notification of Registration:** n. 0614327/19 of 09/10/2019

**Registration no.:** 5120

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0614327/19 of 09/10/2019)
2. Investment advice (Notification 0614327/19 of 09/10/2019)
3. Execution of orders on behalf of clients (Notification 0614327/19 of 09/10/2019)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0614327/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERMEDIATE CAPITAL MANAGERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 St Paul’S Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4mbu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084206/13 of 24/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3835</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084206/13 of 24/10/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0084206/13 of 24/10/2013)
3) Investment advice (Notification 0084206/13 of 24/10/2013)
4) Execution of orders on behalf of clients (Notification 0084206/13 of 24/10/2013)
5) Portfolio management (Notification 0084206/13 of 24/10/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084206/13 of 24/10/2013)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERMONEY VALORES SOCIEDAD DE VALORES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Plaza Pablo Ruiz Picasso, 1</td>
</tr>
<tr>
<td>City:</td>
<td>28020 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4084417 of 24/09/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1476</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4084417 of 24/09/2004)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4084417 of 24/09/2004)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4084417 of 24/09/2004)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 4084417 of 24/09/2004)
5) Placing of financial instruments without a firm commitment basis (Notification 4084417 of 24/09/2004)
6) Investment advice (Notification 4084417 of 24/09/2004)
7) Execution of orders on behalf of clients (Notification 4084417 of 24/09/2004)
8) Portfolio management (Notification 4084417 of 24/09/2004)
9) Dealing on own account (Notification 4084417 of 24/09/2004)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 4084417 of 24/09/2004)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERNATIONAL CAPITAL MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Vorarlbergerstrasse 29</td>
</tr>
<tr>
<td>City:</td>
<td>9486 - Schaanwald</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10018726 of 05/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2811</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10018726 of 05/03/2010)  
2) Investment advice (Notification 10018726 of 05/03/2010)  
3) Portfolio management (Notification 10018726 of 05/03/2010)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10018726 of 05/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTERNATIONAL COMMODITY CONSULTING ICC B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lange Vliestraat 333</td>
</tr>
<tr>
<td>City:</td>
<td>35118k - Utrecht</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0089258/17 of 14/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4637</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0089258/17 of 14/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13015620 of 25/02/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13015620 of 25/02/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 13015620 of 25/02/2013)

4) Execution of orders on behalf of clients (Notification 13015620 of 25/02/2013)

5) Portfolio management (Notification 13015620 of 25/02/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13015620 of 25/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTER-UK FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>First Floor Cornerhouse Robey Close Linby</td>
</tr>
<tr>
<td>City:</td>
<td>Ng15 8aa - Nottingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0132348/17 of 01/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4721</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0132348/17 of 01/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: | INTL FCSSTONE S.A.  
---|---  
Registered office: | 251 Route D’Arlon  
City: | 2014 - Lussemburgo  
Country: | Lussemburgo  
Notification of Registration: | n. 13038178 of 06/05/2013  
Registration no.: | 3691  

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13038178 of 06/05/2013)  
2) Execution of orders on behalf of clients (Notification 13038178 of 06/05/2013)  
3) Portfolio management (Notification 13038178 of 06/05/2013)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13038178 of 06/05/2013)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVESTMENT FIRM: 
INTL FCSTONE LTD

REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTL FCSTONE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7092088 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1904</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12012112 of 20/02/2012)
2) 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 (Notification 7092088 of 01/11/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7092088 of 01/11/2007)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092088 of 01/11/2007)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 7092088 of 01/11/2007)
6) Execution of orders on behalf of clients (Notification 7092088 of 01/11/2007)
7) Dealing on own account (Notification 7092088 of 01/11/2007)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 7092088 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INTUITIVE ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Corner House Robey Close Limby</td>
</tr>
<tr>
<td>City:</td>
<td>Ng158aa - Nottingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0161083/18 of 21/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4827</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0161083/18 of 21/05/2018)
2) Investment advice (Notification 0161083/18 of 21/05/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0161083/18 of 21/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVEL REAL ESTATE ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0gt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5103</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0606228/19 of 07/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVERSEGUROS SOCIEDAD DE VALORES Y BOLSA S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pedro Munoz Seca, 4</td>
</tr>
<tr>
<td>City:</td>
<td>28000 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2082742 of 19/12/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1332</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12095802 of 10/12/2012)
2) Placing of financial instruments without a firm commitment basis (Notification 12095802 of 10/12/2012)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2082742 of 19/12/2002)
4) Execution of orders on behalf of clients (Notification 2082742 of 19/12/2002)
5) Dealing on own account (Notification 2082742 of 19/12/2002)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 2082742 of 19/12/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  INVESCO ASSET MANAGEMENT LIMITED

Registered office:  Perpetual Park, Perpetual Park Drive

City:  Rg91hh - Henley On Thames

Country:  Regno Unito

Notification of Registration:  n. 97006530 of 03/02/1997

Registration no.:  597

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0098195/15 of 30/12/2015)
2) Execution of orders on behalf of clients (Notification 0098195/15 of 30/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098195/15 of 30/12/2015)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) Investment advice (Notification 97006530 of 03/02/1997)
6) Portfolio management (Notification 97006530 of 03/02/1997)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVEESCO UK SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43-45 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9010632 of 30/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2516</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9010632 of 30/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVESTMEN CREDIT MANAGEMENT EU LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k3hw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6065686 of 02/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1687</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 6065686 of 02/08/2006)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 6065686 of 02/08/2006)

3) Investment advice (Notification 6065686 of 02/08/2006)

4) Execution of orders on behalf of clients (Notification 6065686 of 02/08/2006)

5) Portfolio management (Notification 6065686 of 02/08/2006)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 6065686 of 02/08/2006)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVESTCORP SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Investcorp House 48 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3hw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086492/15 of 09/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4263</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086492/15 of 09/11/2015)
2) Placing of financial instruments without a firm commitment basis (Notification 0096539/17 of 03/08/2017)
3) Investment advice (Notification 0096539/17 of 03/08/2017)
4) Execution of orders on behalf of clients (Notification 0096539/17 of 03/08/2017)
5) Portfolio management (Notification 0096539/17 of 03/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVESTEC ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Woolgate Exchange 25 Basinghall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 5ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103447 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2032</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7103447 of 21/11/2007)

2) Investment advice (Notification 7103447 of 21/11/2007)

3) Execution of orders on behalf of clients (Notification 7103447 of 21/11/2007)

4) Portfolio management (Notification 7103447 of 21/11/2007)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103447 of 21/11/2007)

6) Placing of financial instruments without a firm commitment basis (Notification 8068092 of 18/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVESTEC CAPITAL & INVESTMENTS (IRELAND) LIMITED

Investment firm: INVESTEC CAPITAL & INVESTMENTS (IRELAND) LIMITED

Registered office: 3 Georges Dock

City: Dublin 1 - Dublino

Country: Irlanda

Notification of Registration: n. 96006978 of 23/01/1996

Registration no.: 441

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10076905 of 17/09/2010)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96006978 of 23/01/1996)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96006978 of 23/01/1996)

4) Services related to underwriting (Notification 96006978 of 23/01/1996)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 96006978 of 23/01/1996)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96006978 of 23/01/1996)

7) Placing of financial instruments without a firm commitment basis (Notification 96006978 of 23/01/1996)

8) Investment advice (Notification 96006978 of 23/01/1996)

9) Execution of orders on behalf of clients (Notification 96006978 of 23/01/1996)

10) Portfolio management (Notification 96006978 of 23/01/1996)

11) Dealing on own account (Notification 96006978 of 23/01/1996)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 96006978 of 23/01/1996)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVESTEC EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Harcourt Building, Harcourt Street, Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0239439/19 of 02/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5024</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0239439/19 of 02/05/2019)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0239439/19 of 02/05/2019)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0239439/19 of 02/05/2019)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0239439/19 of 02/05/2019)
5) Services related to underwriting (Notification 0239439/19 of 02/05/2019)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 0239439/19 of 02/05/2019)
7) Placing of financial instruments without a firm commitment basis (Notification 0239439/19 of 02/05/2019)
8) Execution of orders on behalf of clients (Notification 0239439/19 of 02/05/2019)
9) Dealing on own account (Notification 0239439/19 of 02/05/2019)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0239439/19 of 02/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(INVESTEC WEALTH & INVESTMENT LIMITED)

Investment firm: INVESTEC WEALTH & INVESTMENT LIMITED

Registered office: 122 Leadenhall Street

City: Ec3v 4qh - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 53

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

4) Investment advice (Notification 96000620 of 03/01/1996)

5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

6) Portfolio management (Notification 96000620 of 03/01/1996)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: INVESTMENT QUORUM LIMITED

Registered office: 38 Lombard Street

City: Ec3v 9bs - Londra

Country: Regno Unito

Notification of Registration: n. 7099134 of 07/11/2007

Registration no.: 1974

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099134 of 07/11/2007)
2) Investment advice (Notification 7099134 of 07/11/2007)
3) Portfolio management (Notification 7099134 of 07/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099134 of 07/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>INVICTA SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>104-105 Salisbury House 465</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 5rq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0051854/16 of 03/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4398</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0051854/16 of 03/06/2016)
2) Execution of orders on behalf of clients (Notification 0051854/16 of 03/06/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051854/16 of 03/06/2016)
4) Dealing on own account (Notification 0093836/17 of 27/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVISTA REAL ESTATE INVESTMENT MANAGEMENT LTD

Investment firm: INVISTA REAL ESTATE INVESTMENT MANAGEMENT LTD

Registered office: 1 Bruton Street London

City: W1j 6tl - Londra

Country: Regno Unito

Notification of Registration: n. 6072731 of 07/09/2006

Registration no.: 1698

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6072731 of 07/09/2006)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 6072731 of 07/09/2006)

3) Investment advice (Notification 6072731 of 07/09/2006)

4) Execution of orders on behalf of clients (Notification 6072731 of 07/09/2006)

5) Portfolio management (Notification 6072731 of 07/09/2006)

6) Dealing on own account (Notification 6072731 of 07/09/2006)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 6072731 of 07/09/2006)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IPREO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ropemaker Place 25 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547884/19 of 13/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5080</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547884/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: IQOPTION EUROPE LTD

Registered office: Agiou Athanasiou Avenue 33

City: 4102 - Limassol

Country: Cipro

Notification of Registration: n. 0008204/15 of 03/02/2015

Registration no.: 4090

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0008204/15 of 03/02/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0008204/15 of 03/02/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0008204/15 of 03/02/2015)

4) Execution of orders on behalf of clients (Notification 0008204/15 of 03/02/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0008204/15 of 03/02/2015)

6) Investment advice (Notification 0080454/18 of 23/03/2018)

7) Portfolio management (Notification 0080454/18 of 23/03/2018)

8) Dealing on own account (Notification 0080454/18 of 23/03/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11051228 of 07/06/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11051228 of 07/06/2011)

3) Investment advice (Notification 11051228 of 07/06/2011)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11051228 of 07/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IRISH LIFE INVESTMENT MANAGERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beresford Court</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 1 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9032432 of 09/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2567</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9032432 of 09/04/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9032432 of 09/04/2009)

3) Services related to underwriting (Notification 9032432 of 09/04/2009)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 9032432 of 09/04/2009)

5) Investment advice (Notification 9032432 of 09/04/2009)

6) Portfolio management (Notification 9032432 of 09/04/2009)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9032432 of 09/04/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IRISH PROGRESSIVE SERVICES INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Lower Mount Street</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9032431 of 09/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2565</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 9032431 of 09/04/2009)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9032431 of 09/04/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>IRON TRUST VERMOGENSVERWALTUNGS AG/IRON TRUST ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Am Schragen Weg 2</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Liechtenstein</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0097707/17 of 07/08/2017</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4650</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0097707/17 of 07/08/2017)
2) Investment advice (Notification 0097707/17 of 07/08/2017)
3) Execution of orders on behalf of clients (Notification 0097707/17 of 07/08/2017)
4) Portfolio management (Notification 0097707/17 of 07/08/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097707/17 of 07/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IS PRIME LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55, Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 8ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021005/16 of 10/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4341</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0021005/16 of 10/03/2016)

2) Investment advice (Notification 0021005/16 of 10/03/2016)

3) Execution of orders on behalf of clients (Notification 0021005/16 of 10/03/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021005/16 of 10/03/2016)

5) Dealing on own account (Notification 0094826/17 of 31/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ISC INSTITUTIONAL SERVICE CENTER LTD

Registered office: 3-4 Holborn Circus, Thavies Inn House, 8th Floor,

City: Ec1n 2hb - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 168

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0064625/13 of 29/07/2013)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ISEC WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>254 Arch. Leontiou A Maximos Court 3</td>
</tr>
<tr>
<td>City:</td>
<td>3020 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0258935/18 of 16/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4852</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 0258935/18 of 16/07/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0258935/18 of 16/07/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0258935/18 of 16/07/2018)

4) Portfolio management (Notification 0258935/18 of 16/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ISWAP EURO BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kingsfordweg 151 Teleport Tow</td>
</tr>
<tr>
<td>City:</td>
<td>1043gr - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0164840/19 of 28/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5001</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0164840/19 of 28/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ISWAP EURO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11095903 of 30/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3306</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11095903 of 30/11/2011)
2) Operation of an MTF (Notification 11095903 of 30/11/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11095903 of 30/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ITAU BBA INTERNATIONAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Broadgate Tower 20 Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5104</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0606228/19 of 07/10/2019)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0606228/19 of 07/10/2019)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)
4) Services related to underwriting (Notification 0606228/19 of 07/10/2019)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 0606228/19 of 07/10/2019)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0606228/19 of 07/10/2019)
7) Placing of financial instruments without a firm commitment basis (Notification 0606228/19 of 07/10/2019)
8) Investment advice (Notification 0606228/19 of 07/10/2019)
9) Execution of orders on behalf of clients (Notification 0606228/19 of 07/10/2019)
10) Dealing on own account (Notification 0606228/19 of 07/10/2019)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ITHUBA CAPITAL AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Seilerstatte 18-20</td>
</tr>
<tr>
<td>City:</td>
<td>A-1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1089808 of 29/11/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1206</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1089808 of 29/11/2001)
2) Portfolio management (Notification 1089808 of 29/11/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1089808 of 29/11/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ITI CAPITAL LIMITED

Registered office: Northern & Shell Building 10 Lower Thames Street

City: Ec3r 6ad - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 242

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6034991 of 20/04/2006)
2) Investment advice (Notification 6034991 of 20/04/2006)
3) Execution of orders on behalf of clients (Notification 6034991 of 20/04/2006)
4) Portfolio management (Notification 6034991 of 20/04/2006)
5) Dealing on own account (Notification 6034991 of 20/04/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0012766/17 of 27/01/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0012766/17 of 27/01/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0012766/17 of 27/01/2017)

4) Execution of orders on behalf of clients (Notification 0012766/17 of 27/01/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012766/17 of 27/01/2017)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0174020/18 of 28/05/2018)

7) Investment advice (Notification 0174020/18 of 28/05/2018)

8) Portfolio management (Notification 0174020/18 of 28/05/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IUR CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047837 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2864</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10047837 of 25/05/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047837 of 25/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: IWB B.V.

Registered office: Zuidplein 128

City: 1077 Xv - Amsterdam

Country: Paesi Bassi

Notification of Registration: n. 6052243 of 13/06/2006

Registration no.: 1663

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 6052243 of 13/06/2006)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6052243 of 13/06/2006)
3) Placing of financial instruments without a firm commitment basis (Notification 6052243 of 13/06/2006)
4) Investment advice (Notification 6052243 of 13/06/2006)
5) Execution of orders on behalf of clients (Notification 6052243 of 13/06/2006)
6) Dealing on own account (Notification 6052243 of 13/06/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>IWG INTERNATIONAL WEALTH GROUP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Soboh House, 28th Of October Avenue 377</td>
</tr>
<tr>
<td>City:</td>
<td>3107 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0830801/19 of 23/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5146</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0830801/19 of 23/12/2019)
2) Portfolio management (Notification 0830801/19 of 23/12/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0830801/19 of 23/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J C RATHBONE ASSOCIATES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 St. James'S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4048659 of 19/05/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1444</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 4048659 of 19/05/2004)
2) Investment advice (Notification 4048659 of 19/05/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4048659 of 19/05/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J M FINN &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Coleman Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 5ta - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6075155 of 19/09/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1702</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6075155 of 19/09/2006)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6075155 of 19/09/2006)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 6075155 of 19/09/2006)
4) Investment advice (Notification 6075155 of 19/09/2006)
5) Execution of orders on behalf of clients (Notification 6075155 of 19/09/2006)
6) Portfolio management (Notification 6075155 of 19/09/2006)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 6075155 of 19/09/2006)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J STERN &amp; CO. LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 Knightsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13025124 of 28/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3666</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13025124 of 28/03/2013)
2) Investment advice (Notification 13025124 of 28/03/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13025124 of 28/03/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JAMES HAMBRO &amp; PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Ryder Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6qb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057864/14 of 09/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3993</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0057864/14 of 09/07/2014)

2) Investment advice (Notification 0057864/14 of 09/07/2014)

3) Execution of orders on behalf of clients (Notification 0057864/14 of 09/07/2014)

4) Portfolio management (Notification 0057864/14 of 09/07/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0057864/14 of 09/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>JANE STREET FINANCIAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Floor 30, 20 Fenchurch Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec3m 3by - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 9050512 of 28/05/2009</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2600</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9050512 of 28/05/2009)
2) Execution of orders on behalf of clients (Notification 9050512 of 28/05/2009)
3) Dealing on own account (Notification 9050512 of 28/05/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9050512 of 28/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>JANE STREET NETHERLANDS B.V</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td><strong>H-Toren Wtc Zuidplein 36</strong></td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td><strong>1077 Xv - Amsterdam</strong></td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td><strong>Paesi Bassi</strong></td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td><strong>n. 0162988/19 of 27/03/2019</strong></td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td><strong>4998</strong></td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0162988/19 of 27/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: JANUS CAPITAL INTERNATIONAL LIMITED

Registered office: 201 Bishopsgate

City: Ec2m3ae - Londra

Country: Regno Unito

Notification of Registration: n. 99059891 of 28/07/1999

Registration no.: 820

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 99059891 of 28/07/1999)
2) Execution of orders on behalf of clients (Notification 99059891 of 28/07/1999)
3) Portfolio management (Notification 99059891 of 28/07/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99059891 of 28/07/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** JAR CAPITAL LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>50 Jermyn Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Sw1y6lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075192/16 of 12/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4454</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0075192/16 of 12/08/2016)
2) Portfolio management (Notification 0075192/16 of 12/08/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075192/16 of 12/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>JAVELIN RESEARCH LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>1 Fore Street Avenue</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec2y9dt - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0075636/18 of 20/03/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4791</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075636/18 of 20/03/2018)

2) Investment advice (Notification 0075636/18 of 20/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JB CAPITAL MARKETS, SOCIEDAD DE VALORES, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Piazza Manuel Gomez Moreno 2</td>
</tr>
<tr>
<td>City:</td>
<td>28020 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10064107 of 21/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2922</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0139608/17 of 21/12/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10064107 of 21/07/2010)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10064107 of 21/07/2010)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 10064107 of 21/07/2010)
5) Placing of financial instruments without a firm commitment basis (Notification 10064107 of 21/07/2010)
6) Investment advice (Notification 10064107 of 21/07/2010)
7) Execution of orders on behalf of clients (Notification 10064107 of 21/07/2010)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10064107 of 21/07/2010)
9) Services related to underwriting (Notification 10096307 of 23/11/2010)
10) Dealing on own account (Notification 10096307 of 23/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JB DRAX HONORE (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 Great Winchester Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12098830 of 20/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3584</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12098830 of 20/12/2012)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12098830 of 20/12/2012)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 12098830 of 20/12/2012)
4) Investment advice (Notification 12098830 of 20/12/2012)
5) Execution of orders on behalf of clients (Notification 12098830 of 20/12/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12098830 of 20/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0022788/16 of 16/03/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0022788/16 of 16/03/2016)
3) Services related to underwriting (Notification 0022788/16 of 16/03/2016)
4) Investment advice (Notification 11044017 of 17/05/2011)
5) Execution of orders on behalf of clients (Notification 11044017 of 17/05/2011)
6) Dealing on own account (Notification 11044017 of 17/05/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11044017 of 17/05/2011)
8) Portfolio management (Notification 13000290 of 03/01/2013)
9) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 13027773 of 03/04/2013)
10) Placing of financial instruments without a firm commitment basis (Notification 13027773 of 03/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J&amp;E DAVY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Davy House, 49 Dawson Street 2</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96006978 of 23/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>453</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10076038 of 14/09/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9052648 of 04/06/2009)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96006978 of 23/01/1996)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96006978 of 23/01/1996)

5) Services related to underwriting (Notification 96006978 of 23/01/1996)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 96006978 of 23/01/1996)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96006978 of 23/01/1996)

8) Placing of financial instruments without a firm commitment basis (Notification 96006978 of 23/01/1996)

9) Investment advice (Notification 96006978 of 23/01/1996)

10) Execution of orders on behalf of clients (Notification 96006978 of 23/01/1996)

11) Portfolio management (Notification 96006978 of 23/01/1996)

12) Dealing on own account (Notification 96006978 of 23/01/1996)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96006978 of 23/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JEFFERIES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bockenheimer Landstrasse 24</td>
</tr>
<tr>
<td>City:</td>
<td>60323 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0115338/19 of 01/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4966</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0115338/19 of 01/03/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0115338/19 of 01/03/2019)

3) Services related to underwriting (Notification 0115338/19 of 01/03/2019)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0115338/19 of 01/03/2019)

5) Placing of financial instruments without a firm commitment basis (Notification 0115338/19 of 01/03/2019)

6) Investment advice (Notification 0115338/19 of 01/03/2019)

7) Execution of orders on behalf of clients (Notification 0115338/19 of 01/03/2019)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0115338/19 of 01/03/2019)

9) Dealing on own account (Notification 0644642/19 of 21/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 7095666 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7095666 of 01/11/2007)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7095666 of 01/11/2007)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7095666 of 01/11/2007)

5) Portfolio management (Notification 7095666 of 01/11/2007)

6) Operation of an MTF (Notification 7095666 of 01/11/2007)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

8) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

9) Investment advice (Notification 96000620 of 03/01/1996)

10) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

11) Dealing on own account (Notification 96000620 of 03/01/1996)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
13) Services related to underwriting (Notification 96059817 of 15/07/1996)
14) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)
15) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: JFD GROUP LTD

Registered office: 70 Kyrillou Loukareos Street

City: 4156 - Limassol

Country: Cipro

Notification of Registration: n. 11098413 of 13/12/2011

Registration no.: 3317

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0056836/13 of 01/07/2013)
2) 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 (Notification 11098413 of 13/12/2011)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11098413 of 13/12/2011)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11098413 of 13/12/2011)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 11098413 of 13/12/2011)
6) Execution of orders on behalf of clients (Notification 11098413 of 13/12/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11098413 of 13/12/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JIN DAOCHENG LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Pafou Street, Vladimiros Court</td>
</tr>
<tr>
<td>City:</td>
<td>3052 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0122203/17 of 30/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4703</td>
</tr>
</tbody>
</table>

**Services Provided in Italy**

1) Portfolio management (Notification 0032442/19 of 21/01/2019)
2) 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 (Notification 0122203/17 of 30/10/2017)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0122203/17 of 30/10/2017)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0122203/17 of 30/10/2017)
5) Execution of orders on behalf of clients (Notification 0122203/17 of 30/10/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0122203/17 of 30/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JLL TRANSACTION SERVICES AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Birger Jarlsatan 25 4 Tr</td>
</tr>
<tr>
<td>City:</td>
<td>Se 11145 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0046918/16 of 20/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4384</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0046918/16 of 20/05/2016)
2) Services related to underwriting (Notification 0046918/16 of 20/05/2016)
3) Placing of financial instruments without a firm commitment basis (Notification 0046918/16 of 20/05/2016)
4) Investment advice (Notification 0046918/16 of 20/05/2016)
5) Execution of orders on behalf of clients (Notification 0046918/16 of 20/05/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0046918/16 of 20/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **JLT BENEFIT SOLUTIONS LTD**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>One America Square</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec3n 2jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8096823 of 21/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2442</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8096823 of 21/10/2008)

2) Investment advice (Notification 8096823 of 21/10/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8096823 of 21/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JNE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29-30 St.James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1hb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10008168 of 01/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2762</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10008168 of 01/02/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10008168 of 01/02/2010)
3) Investment advice (Notification 10008168 of 01/02/2010)
4) Execution of orders on behalf of clients (Notification 10008168 of 01/02/2010)
5) Portfolio management (Notification 10008168 of 01/02/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10008168 of 01/02/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JOHN EAMES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>19 Britton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1m 5nz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8087869 of 24/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2424</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8087869 of 24/09/2008)

2) Investment advice (Notification 8087869 of 24/09/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8087869 of 24/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JOHN LAMB LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Southwaark Bridge Road</td>
</tr>
<tr>
<td>City:</td>
<td>Se1 9eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7094900 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1897</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7094900 of 01/11/2007)
2) Investment advice (Notification 7094900 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094900 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JOHN MOORE &amp; COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Warwick Square Mews</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 2el - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009616 of 05/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3625</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13009616 of 05/02/2013)

2) Investment advice (Notification 13009616 of 05/02/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009616 of 05/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JONES LANG LASALLE CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Warwick Street, W1b 5nh - Londra</td>
</tr>
<tr>
<td>City:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Country:</td>
<td></td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1003216 of 17/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1075</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1003216 of 17/01/2001)
2) Execution of orders on behalf of clients (Notification 1003216 of 17/01/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1003216 of 17/01/2001)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JONESTRADING INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096144/15 of 21/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4288</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0093875/17 of 27/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0096144/15 of 21/12/2015)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0096144/15 of 21/12/2015)
4) Investment advice (Notification 0096144/15 of 21/12/2015)
5) Execution of orders on behalf of clients (Notification 0096144/15 of 21/12/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096144/15 of 21/12/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JOSEPH R LAMB INDEPENDENT FINANCIAL ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Eastwood Road - Rayleigh</td>
</tr>
<tr>
<td>City:</td>
<td>Ss6 7jq - Essex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8008724 of 30/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2199</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8008724 of 30/01/2008)
2) Investment advice (Notification 8008724 of 30/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8008724 of 30/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J.P. MORGAN DUBLIN PUBLIC LIMITED COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>200 Capital Dock 79 Sir John Rogerson’S Quay</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0164842/19 of 28/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5003</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0164842/19 of 28/03/2019)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0164842/19 of 28/03/2019)
3) Placing of financial instruments without a firm commitment basis (Notification 0164842/19 of 28/03/2019)
4) Execution of orders on behalf of clients (Notification 0164842/19 of 28/03/2019)
5) Dealing on own account (Notification 0164842/19 of 28/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J.P. MORGAN MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Bank Street</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5jp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>25</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 1009664 of 09/02/2001)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7092231 of 01/11/2007)
3) 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 (Notification 96000620 of 03/01/1996)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
6) Services related to underwriting (Notification 96000620 of 03/01/1996)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
9) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
10) Investment advice (Notification 96000620 of 03/01/1996)
11) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
12) Dealing on own account (Notification 96000620 of 03/01/1996)
13) Reception and transmission of orders in relation to one or more financial instruments
    (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information
on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JPM ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>252-256 Kings Road, Reading</td>
</tr>
<tr>
<td>City:</td>
<td>Rg1 4hp - Berkshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8020789 of 07/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2246</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8020789 of 07/03/2008)
2) Investment advice (Notification 8020789 of 07/03/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8020789 of 07/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JPMORGAN ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Victoria Embankment</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0jp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>857</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96056590 of 01/07/1996)
3. Services related to underwriting (Notification 96056590 of 01/07/1996)
4. Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)
5. Investment advice (Notification 96056590 of 01/07/1996)
6. Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
7. Portfolio management (Notification 96056590 of 01/07/1996)
8. Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JUB CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11077233 of 12/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3259</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11077233 of 12/09/2011)
2) Execution of orders on behalf of clients (Notification 11077233 of 12/09/2011)
3) Portfolio management (Notification 11077233 of 12/09/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11077233 of 12/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JULIUS BAER INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 St Martins Le Grand</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a4as - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96066622 of 08/08/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>571</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96066622 of 08/08/1996)
3) Portfolio management (Notification 96066622 of 08/08/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96066622 of 08/08/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JULIUS BAER INVESTMENT ADVISORY GESMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Himmelpfortgasse 13/8</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0270852/18 of 23/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4856</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0270852/18 of 23/07/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0270852/18 of 23/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: JUMP TRADING EUROPE B.V.

Registered office: Tribes South Axis Som Claude Debussylaan 17

City: 1082mc - Amsterdam

Country: Paesi Bassi

Notification of Registration: n. 0324635/18 of 27/08/2018

Registration no.: 4868

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0324635/18 of 27/08/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JUMP TRADING INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 New Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1nh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7054710 of 14/06/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1805</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 7064393 of 11/07/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JUNO FINANCE UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>96 Kensington High Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 4sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092763/13 of 29/11/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3870</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0092763/13 of 29/11/2013)

2) Investment advice (Notification 0092763/13 of 29/11/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092763/13 of 29/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>JUPITER ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Zig Zag Building, 70 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 6sq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071850/13 of 30/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3798</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0071850/13 of 30/08/2013)
2. Execution of orders on behalf of clients (Notification 0071850/13 of 30/08/2013)
3. Portfolio management (Notification 0071850/13 of 30/08/2013)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0071850/13 of 30/08/2013)
5. Dealing on own account (Notification 0101562/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: JUST2TRADE ONLINE LTD

Registered office: 10 Chrysanthou Mylona Magnum House

City: 3030 - Limassol

Country: Cipro

Notification of Registration: n. 0017174/16 of 26/02/2016

Registration no.: 4331

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0017174/16 of 26/02/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0017174/16 of 26/02/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0017174/16 of 26/02/2016)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0017174/16 of 26/02/2016)

5) Execution of orders on behalf of clients (Notification 0017174/16 of 26/02/2016)

6) Portfolio management (Notification 0017174/16 of 26/02/2016)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017174/16 of 26/02/2016)

8) Investment advice (Notification 0264142/19 of 14/05/2019)

9) Dealing on own account (Notification 0264142/19 of 14/05/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>J8 CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y5ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071094/17 of 25/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4611</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071094/17 of 25/05/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0071094/17 of 25/05/2017)
3) Investment advice (Notification 0071094/17 of 25/05/2017)
4) Execution of orders on behalf of clients (Notification 0071094/17 of 25/05/2017)
5) Portfolio management (Notification 0071094/17 of 25/05/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071094/17 of 25/05/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>K &amp; R PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Beaufort Court, Admirals Way</td>
</tr>
<tr>
<td>City:</td>
<td>E14 9xl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98091609 of 27/11/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>745</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98091609 of 27/11/1998)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98091609 of 27/11/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: KAB STRATEGY LIMITED

Registered office: 13, Griva Digeni Avenue, Stavrakis Court

City: 6030 - Larnaca

Country: Cipro

Notification of Registration: n. 12075801 of 21/09/2012

Registration no.: 3510

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12075801 of 21/09/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12075801 of 21/09/2012)

3) Execution of orders on behalf of clients (Notification 12075801 of 21/09/2012)

4) Portfolio management (Notification 12075801 of 21/09/2012)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12075801 of 21/09/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KAPWEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ground Floor Sceptre House Hombeam Business Park</td>
</tr>
<tr>
<td>City:</td>
<td>Hg2 8pb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083232/15 of 27/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4252</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083232/15 of 27/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KARROO CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>91 Woodside</td>
</tr>
<tr>
<td>City:</td>
<td>Sw19 7ba - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8001125 of 04/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2167</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 8001125 of 04/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KBC CLEARING N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht</td>
</tr>
<tr>
<td>City:</td>
<td>466-1 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7110050 of 18/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2198</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 7110050 of 18/12/2007)
2) Dealing on own account (Notification 7110050 of 18/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7110050 of 18/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KBC SECURITIES NV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Havenlaan 12</td>
</tr>
<tr>
<td>City:</td>
<td>1080 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99055249 of 19/07/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>816</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99055249 of 19/07/1999)
2) Portfolio management (Notification 99055249 of 19/07/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: K-DNA FINANCIAL SERVICES LTD

Registered office: 56, Griva Digeni, Anna Tower

City: 3063 - Limassol

Country: Cipro

Notification of Registration: n. 0053183/15 of 02/07/2015

Registration no.: 4201

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0053183/15 of 02/07/2015)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0053183/15 of 02/07/2015)
3) Execution of orders on behalf of clients (Notification 0053183/15 of 02/07/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053183/15 of 02/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEMP TRADING BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dorpsstraat 150</td>
</tr>
<tr>
<td>City:</td>
<td>3481er - Harmelen</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0003707/18 of 11/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4760</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) **Dealing on own account (Notification 0003707/18 of 11/01/2018)**

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEMPEN &amp; CO N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beethovenstraat 300</td>
</tr>
<tr>
<td>City:</td>
<td>1077wz - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093881/17 of 27/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4646</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0093881/17 of 27/07/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093881/17 of 27/07/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0093881/17 of 27/07/2017)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093881/17 of 27/07/2017)

5) Services related to underwriting (Notification 0093881/17 of 27/07/2017)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0093881/17 of 27/07/2017)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0093881/17 of 27/07/2017)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0093881/17 of 27/07/2017)

9) Placing of financial instruments without a firm commitment basis (Notification 0093881/17 of 27/07/2017)

10) Investment advice (Notification 0093881/17 of 27/07/2017)

11) Execution of orders on behalf of clients (Notification 0093881/17 of 27/07/2017)
12) Dealing on own account (Notification 0093881/17 of 27/07/2017)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093881/17 of 27/07/2017)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Operation of an OTF (Notification 0102248/18 of 09/04/2018)</td>
</tr>
<tr>
<td>2) Services related to underwriting (Notification 11098929 of 14/12/2011)</td>
</tr>
<tr>
<td>3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11098929 of 14/12/2011)</td>
</tr>
<tr>
<td>4) Placing of financial instruments without a firm commitment basis (Notification 11098929 of 14/12/2011)</td>
</tr>
<tr>
<td>5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9008727 of 27/01/2009)</td>
</tr>
<tr>
<td>6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 97083464 of 02/12/1997)</td>
</tr>
<tr>
<td>7) Foreign exchange services where these are connected to the provision of investment services (Notification 97083464 of 02/12/1997)</td>
</tr>
<tr>
<td>8) Investment advice (Notification 97083464 of 02/12/1997)</td>
</tr>
<tr>
<td>9) Execution of orders on behalf of clients (Notification 97083464 of 02/12/1997)</td>
</tr>
<tr>
<td>10) Dealing on own account (Notification 97083464 of 02/12/1997)</td>
</tr>
<tr>
<td>11) Reception and transmission of orders in relation to one or more financial instruments (Notification 97083464 of 02/12/1997)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEPLER CHEUVREUX UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12th Floor Moor House 120 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>159</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) 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 (Notification 8012981 of 12/02/2008)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8012981 of 12/02/2008)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

5) Services related to underwriting (Notification 96000620 of 03/01/1996)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

7) Investment advice (Notification 96000620 of 03/01/1996)

8) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

9) Dealing on own account (Notification 96000620 of 03/01/1996)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

11) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)

12) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEPLER PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9-10 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s3pf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059112/15 of 22/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4209</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059112/15 of 22/07/2015)
2) Investment advice (Notification 0059112/15 of 22/07/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059112/15 of 22/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KESSION CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Hyde, Thyde House</td>
</tr>
<tr>
<td>City:</td>
<td>Nw9 6lh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12067096 of 09/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3484</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12067096 of 09/08/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12067096 of 09/08/2012)

3) Investment advice (Notification 12067096 of 09/08/2012)

4) Execution of orders on behalf of clients (Notification 12067096 of 09/08/2012)

5) Portfolio management (Notification 12067096 of 09/08/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12067096 of 09/08/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEY CAPITAL PARTNERS, AGENCIA DE VALORES, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Salustiano Olozaga, 5 3rd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>28001 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12083585 of 22/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3538</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0000318/16 of 05/01/2016)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0077563/13 of 01/10/2013)
3) Investment advice (Notification 0077563/13 of 01/10/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12083585 of 22/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEY TO MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>58-60 Kensington Church Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 4db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10096884 of 24/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3019</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 10096884 of 24/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEY WAY INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 Spyrou Kyprianou Avenue, Suite 101</td>
</tr>
<tr>
<td>City:</td>
<td>1075 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092642/17 of 25/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4640</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0092642/17 of 25/07/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0092642/17 of 25/07/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0092642/17 of 25/07/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0092642/17 of 25/07/2017)

5) Execution of orders on behalf of clients (Notification 0092642/17 of 25/07/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092642/17 of 25/07/2017)

7) Dealing on own account (Notification 0614317/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEYPPOINT FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Green Park House 15 Stratton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8lq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069328/15 of 02/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4227</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0069328/15 of 02/09/2015)

2) Investment advice (Notification 0069328/15 of 02/09/2015)

3) Execution of orders on behalf of clients (Notification 0069328/15 of 02/09/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069328/15 of 02/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KEYTE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Middle Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ta1 1sh - Somerset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7094201 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1899</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7094201 of 01/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094201 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KGAL CAPITAL GMBH &amp; CO.KG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Toelzer Strasse 15</td>
</tr>
<tr>
<td>City:</td>
<td>82031 - Gruenwald</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0254200/18 of 12/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4850</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0254200/18 of 12/07/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0254200/18 of 12/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KILLIK &amp; CO LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0od - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>181</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0361144/18 of 19/09/2018)
2) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
3) Portfolio management (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KINETIX CRITCHLEYS CORPORATE FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Lower Farm Barns, Bainton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ox27 7It - Bucknell</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11076869 of 09/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3249</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11076869 of 09/09/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11076869 of 09/09/2011)
3) Investment advice (Notification 11076869 of 09/09/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11076869 of 09/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KING &amp; SHAXSON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6th Floor Candlewick House 120 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6as - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96055051 of 26/06/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>900</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0096526/17 of 03/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Investment advice (Notification 96055051 of 26/06/1996)
4) Execution of orders on behalf of clients (Notification 96055051 of 26/06/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96055051 of 26/06/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KINGDOM FUTURES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Kings Hill Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Me194ae - West Malling</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029407/14 of 09/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3943</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0029407/14 of 09/04/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0029407/14 of 09/04/2014)

3) Execution of orders on behalf of clients (Notification 0029407/14 of 09/04/2014)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029407/14 of 09/04/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
KINGSLEY ASSET MANAGEMENT (GLOBAL) LLP

Hyde House, The Hyde

Nw9 6lh - Londra

Regno Unito

n. 12009408 of 08/02/2012

3346

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12009408 of 08/02/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12009408 of 08/02/2012)
3) Investment advice (Notification 12009408 of 08/02/2012)
4) Execution of orders on behalf of clients (Notification 12009408 of 08/02/2012)
5) Portfolio management (Notification 12009408 of 08/02/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009408 of 08/02/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **KINGSWOOD CORPORATE FINANCE LIMITED**

Registered office: 3 Coldbath Square

City: Ec1r5hl - Londra

Country: Regno Unito

Notification of Registration: n. 0128546/17 of 20/11/2017

Registration no.: 4717

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0128546/17 of 20/11/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0128546/17 of 20/11/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0128546/17 of 20/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KINMONT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2nd Floor 6 Arlington Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 4re - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99038123 of 13/05/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>782</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99038123 of 13/05/1999)

3) Investment advice (Notification 99038123 of 13/05/1999)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99038123 of 13/05/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: KKR CAPITAL MARKETS (IRELAND) LIMITED

Registered office: 75 St Stephen'S Green

City: Dublin - Dublino

Country: Irlanda

Notification of Registration: n. 0105619/19 of 26/02/2019

Registration no.: 4962

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0105619/19 of 26/02/2019)

2) Services related to underwriting (Notification 0105619/19 of 26/02/2019)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0105619/19 of 26/02/2019)

4) Placing of financial instruments without a firm commitment basis (Notification 0105619/19 of 26/02/2019)

5) Execution of orders on behalf of clients (Notification 0105619/19 of 26/02/2019)

6) Dealing on own account (Notification 0105619/19 of 26/02/2019)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105619/19 of 26/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KKR CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Carlton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8012318 of 11/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2202</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 8012318 of 11/02/2008)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8012318 of 11/02/2008)
3) Placing of financial instruments without a firm commitment basis (Notification 8012318 of 11/02/2008)
4) Execution of orders on behalf of clients (Notification 8012318 of 11/02/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8012318 of 11/02/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KKR CREDIT ADVISORS (EMEA) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11018147 of 10/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3104</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0130951/17 of 27/11/2017)
2) Placing of financial instruments without a firm commitment basis (Notification 0130951/17 of 27/11/2017)
3) Execution of orders on behalf of clients (Notification 0130951/17 of 27/11/2017)
4) Portfolio management (Notification 0130951/17 of 27/11/2017)
5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11018147 of 10/03/2011)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11018147 of 10/03/2011)
7) Investment advice (Notification 11018147 of 10/03/2011)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11018147 of 10/03/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: KKR CREDIT ADVISORS (IRELAND) UNLIMITED COMPANY

Registered office: 75 St Stephen’S Green

City: Dublin 2 - Dublino

Country: Irlanda

Notification of Registration: n. 0060763/19 of 05/02/2019

Registration no.: 4940

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0060763/19 of 05/02/2019)
2) Investment advice (Notification 0060763/19 of 05/02/2019)
3) Portfolio management (Notification 0060763/19 of 05/02/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060763/19 of 05/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KLEINWORT BENSON INVESTORS DUBLIN LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Harbourmaster Place</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1038328 of 17/05/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1123</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1038328 of 17/05/2001)
2) Execution of orders on behalf of clients (Notification 1038328 of 17/05/2001)
3) Portfolio management (Notification 1038328 of 17/05/2001)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 1038328 of 17/05/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KLESCH &amp; COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Queen Street, Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1x 7ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>516</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)
3) Services related to underwriting (Notification 96059817 of 15/07/1996)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)
5) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)
6) Investment advice (Notification 96059817 of 15/07/1996)
7) Dealing on own account (Notification 96059817 of 15/07/1996)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)
9) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96071216 of 05/09/1996)
10) Portfolio management (Notification 96071216 of 05/09/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KMG INDEPENDENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rough - Dowlands Lane - Smallfield</td>
</tr>
<tr>
<td>City:</td>
<td>Rh6 9sd - Horley</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7107474 of 06/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1903</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7107474 of 06/12/2007)
2) Investment advice (Notification 7107474 of 06/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7107474 of 06/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KNG SECURITIES FIXED INCOME LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Broad Street Palce</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086298/17 of 06/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4634</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0086298/17 of 06/07/2017)
2) Services related to underwriting (Notification 0086298/17 of 06/07/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0086298/17 of 06/07/2017)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0086298/17 of 06/07/2017)
5) Placing of financial instruments without a firm commitment basis (Notification 0086298/17 of 06/07/2017)
6) Investment advice (Notification 0086298/17 of 06/07/2017)
7) Execution of orders on behalf of clients (Notification 0086298/17 of 06/07/2017)
8) Dealing on own account (Notification 0086298/17 of 06/07/2017)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086298/17 of 06/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** KNG SECURITIES LLP

**Registered office:** 6 Broad St Place

**City:** Ec2m 7jh - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 12027329 of 05/04/2012

**Registration no.:** 3392

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12027329 of 05/04/2012)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 12027329 of 05/04/2012)

3) Placing of financial instruments without a firm commitment basis (Notification 12027329 of 05/04/2012)

4) Investment advice (Notification 12027329 of 05/04/2012)

5) Execution of orders on behalf of clients (Notification 12027329 of 05/04/2012)

6) Dealing on own account (Notification 12027329 of 05/04/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12027329 of 05/04/2012)

8) Services related to underwriting (Notification 12098518 of 20/12/2012)

9) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 12098518 of 20/12/2012)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KOBALT CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Valentine Place</td>
</tr>
<tr>
<td>City:</td>
<td>Se1 8qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11071993 of 16/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3232</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11071993 of 16/08/2011)

2) Investment advice (Notification 11071993 of 16/08/2011)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11071993 of 16/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: KOCH METALS TRADING LIMITED

Registered office: 20 Gresham Street 4th Floor

City: Ec2v 7je - Londra

Country: Regno Unito

Notification of Registration: n. 0130331/17 of 03/01/2018

Registration no.: 4745

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0130331/17 of 03/01/2018)

2) Investment advice (Notification 0130331/17 of 03/01/2018)

3) Execution of orders on behalf of clients (Notification 0130331/17 of 03/01/2018)

4) Dealing on own account (Notification 0130331/17 of 03/01/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0130331/17 of 03/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KOHLBERG KRAVIS ROBERTS &amp; CO. PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Stirling Square 7 Varlton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1058059 of 27/07/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1157</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 1058059 of 27/07/2001)
2) Services related to underwriting (Notification 13040019 of 09/05/2013)
3) Investment advice (Notification 13040019 of 09/05/2013)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority’s website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KONTOR STOEWER ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fleischstrasse 58</td>
</tr>
<tr>
<td>City:</td>
<td>54290 - Trier</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0004146/18 of 11/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4753</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0004146/18 of 11/01/2018)
2) Portfolio management (Notification 0004146/18 of 11/01/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004146/18 of 11/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
KOREA INVESTMENT & SECURITIES EUROPE LTD

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KOREA INVESTMENT &amp; SECURITIES EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11078450 of 19/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3271</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11078450 of 19/09/2011)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11078450 of 19/09/2011)
3) Placing of financial instruments without a firm commitment basis (Notification 11078450 of 19/09/2011)
4) Investment advice (Notification 11078450 of 19/09/2011)
5) Execution of orders on behalf of clients (Notification 11078450 of 19/09/2011)
6) Dealing on own account (Notification 11078450 of 19/09/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11078450 of 19/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KOTAK MAHINDRA (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Portsoken House 155-157 Minories</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n1lj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>185</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
6) Dealing on own account (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KUBERA WEALTH LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39 High Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ha5 5pj - Middlesex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10009911 of 04/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2776</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10009911 of 04/02/2010)

2) Investment advice (Notification 10009911 of 04/02/2010)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10009911 of 04/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: KVB PRIME (UK) LIMITED

Registered office: 3 Beeston Place

City: Sw1w 0jj - Londra

Country: Regno Unito

Notification of Registration: n. 0047912/15 of 12/06/2015

Registration no.: 4188

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0047912/15 of 12/06/2015)
2) Investment advice (Notification 0047912/15 of 12/06/2015)
3) Execution of orders on behalf of clients (Notification 0047912/15 of 12/06/2015)
4) Portfolio management (Notification 0047912/15 of 12/06/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0047912/15 of 12/06/2015)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
INVESTMENT FIRM: KW INVESTMENT MANAGEMENT LIMITED

Registered office: Ellenborough House Wellington Street

City: Gl501yd - Londra

Country: Regno Unito

Notification of Registration: n. 0105412/17 of 11/09/2017

Registration no.: 4676

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0105412/17 of 11/09/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0105412/17 of 11/09/2017)

3) Investment advice (Notification 0105412/17 of 11/09/2017)

4) Execution of orders on behalf of clients (Notification 0105412/17 of 11/09/2017)

5) Portfolio management (Notification 0105412/17 of 11/09/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105412/17 of 11/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>KYTE BROKING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u8ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4101737 of 02/12/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1498</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Operation of an OTF (Notification 0140387/17 of 03/01/2018)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 4101737 of 02/12/2004)
3. Investment advice (Notification 4101737 of 02/12/2004)
4. Execution of orders on behalf of clients (Notification 4101737 of 02/12/2004)
5. Dealing on own account (Notification 4101737 of 02/12/2004)
6. Reception and transmission of orders in relation to one or more financial instruments (Notification 4101737 of 02/12/2004)
7. 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 (Notification 8088164 of 25/09/2008)
8. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8088164 of 25/09/2008)
9. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8088164 of 25/09/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LA FRANCAISE GLOBALE INVESTMENTS

Registered office: 128 Boulevard Rapsail

City: 75014 - Parigi

Country: Francia

Notification of Registration: n. 0051049/17 of 19/04/2017

Registration no.: 4596

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 0051049/17 of 19/04/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0051049/17 of 19/04/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0051049/17 of 19/04/2017)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0051049/17 of 19/04/2017)
5) Placing of financial instruments without a firm commitment basis (Notification 0051049/17 of 19/04/2017)
6) Investment advice (Notification 0051049/17 of 19/04/2017)
7) Execution of orders on behalf of clients (Notification 0051049/17 of 19/04/2017)
8) Dealing on own account (Notification 0051049/17 of 19/04/2017)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051049/17 of 19/04/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LACM GLOBAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Office 114 2 Tallis Street, London,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075190/16 of 12/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4452</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075190/16 of 12/08/2016)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0075190/16 of 12/08/2016)
3) Investment advice (Notification 0075190/16 of 12/08/2016)
4) Execution of orders on behalf of clients (Notification 0075190/16 of 12/08/2016)
5) Portfolio management (Notification 0075190/16 of 12/08/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075190/16 of 12/08/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAIDLAW &amp; COMPANY INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1044616 of 05/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1136</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1044616 of 05/06/2001)
2) Portfolio management (Notification 1044616 of 05/06/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1044616 of 05/06/2001)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAKE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Tufton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1p 3ql - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98000694 of 08/01/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>673</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 98000694 of 08/01/1998)
3) Investment advice (Notification 98000694 of 08/01/1998)
4) Execution of orders on behalf of clients (Notification 98000694 of 08/01/1998)
5) Portfolio management (Notification 98000694 of 08/01/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LAKEVIEW CAPITAL MARKETS SERVICES GMBH

Registered office: Carolinenstrasse 3

City: 82319 - Starnberg

Country: Germania

Notification of Registration: n. 0018586/18 of 31/01/2018

Registration no.: 4781

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0018586/18 of 31/01/2018)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0018586/18 of 31/01/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0018586/18 of 31/01/2018)

4) Placing of financial instruments without a firm commitment basis (Notification 0018586/18 of 31/01/2018)

5) Investment advice (Notification 0018586/18 of 31/01/2018)

6) Execution of orders on behalf of clients (Notification 0018586/18 of 31/01/2018)

7) Portfolio management (Notification 0018586/18 of 31/01/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018586/18 of 31/01/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAMBAY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>76 Baggot Street Lower</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0034517/17 of 17/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4582</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0034517/17 of 17/03/2017)
2) Execution of orders on behalf of clients (Notification 0034517/17 of 17/03/2017)
3) Portfolio management (Notification 0034517/17 of 17/03/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0034517/17 of 17/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LAMBERT ENERGY ADVISORY LIMITED

Registered office: 125 Strand, Wellington House, 4th Floor

City: Wc2r 0ap - Londra

Country: Regno Unito

Notification of Registration: n. 41380 of 30/05/2000

Registration no.: 1017

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 41380 of 30/05/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 41380 of 30/05/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LANDFX UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Light Bulb Lu 121 1 Filament Walk Wandsworth</td>
</tr>
<tr>
<td>City:</td>
<td>Sw18 4go - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070049/16 of 28/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4434</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0070049/16 of 28/07/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070049/16 of 28/07/2016)
3) Dealing on own account (Notification 0094834/17 of 31/07/2017)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LANDMARK CAPITAL LP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 204 Neptune House Marina Bay</td>
</tr>
<tr>
<td>City:</td>
<td>- Gibilterra</td>
</tr>
<tr>
<td>Country:</td>
<td>Gibilterra</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0017738/16 of 29/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4332</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0017738/16 of 29/02/2016)
2) Execution of orders on behalf of clients (Notification 0017738/16 of 29/02/2016)
3) Portfolio management (Notification 0017738/16 of 29/02/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017738/16 of 29/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LANDMARK FINANCIAL LIMITED

Registered office: 7 Mount Mews, High Street, Hampton On Thames

City: Tw12 2sh - Middlesex

Country: Regno Unito

Notification of Registration: n. 7100677 of 13/11/2007

Registration no.: 1983

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7100677 of 13/11/2007)
2) Investment advice (Notification 7100677 of 13/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7100677 of 13/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LANDMARK PARTNERS (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29-30 St James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a1hb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9076231 of 19/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2655</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9076231 of 19/08/2009)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9076231 of 19/08/2009)

3) Investment advice (Notification 9076231 of 19/08/2009)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9076231 of 19/08/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>LANDY PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Suite 6 121 Sloane Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sw1x 9bw - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0004172/16 of 18/01/2016</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4302</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0004172/16 of 18/01/2016)  
2) Execution of orders on behalf of clients (Notification 0004172/16 of 18/01/2016)  
3) Portfolio management (Notification 0004172/16 of 18/01/2016)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004172/16 of 18/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LARPENT NEWTON &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Steane Ground Farm, Steane Brackley</td>
</tr>
<tr>
<td>City:</td>
<td>Nn13 5np - Brackley</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069608/13 of 19/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3781</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0069608/13 of 19/08/2013)
2) Investment advice (Notification 0069608/13 of 19/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069608/13 of 19/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LASALLE INVESTMENT MANAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99043815 of 01/06/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>791</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0028844/14 of 08/04/2014)  
2) Execution of orders on behalf of clients (Notification 0045109/15 of 04/06/2015)  
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)  
4) Investment advice (Notification 99043815 of 01/06/1999)  
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 99043815 of 01/06/1999)  
6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99068890 of 20/09/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LASALLE INVESTMENT MANAGEMENT SECURITIES BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Keizersgracht 316</td>
</tr>
<tr>
<td>City:</td>
<td>1016 Ez - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2191 of 13/01/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>968</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2191 of 13/01/2000)
2) Portfolio management (Notification 2191 of 13/01/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>LAVEN ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088148/15 of 16/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4267</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0088148/15 of 16/11/2015)
2) Investment advice (Notification 0088148/15 of 16/11/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088148/15 of 16/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAVER WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Beaconsfield Road</td>
</tr>
<tr>
<td>City:</td>
<td>Bs23 1ye - Weston Super Mare</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7101421 of 14/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2117</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7101421 of 14/11/2007)
2) Investment advice (Notification 7101421 of 14/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7101421 of 14/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAWSONS EQUITY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rocomar Shops 6, Portruman Street</td>
</tr>
<tr>
<td>City:</td>
<td>Spb 1701 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10062420 of 14/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2910</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10062420 of 14/07/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10062420 of 14/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAZARD &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Stratton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8ll - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3051517 of 05/08/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1378</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3051517 of 05/08/2003)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 3051517 of 05/08/2003)

3) Services related to underwriting (Notification 3051517 of 05/08/2003)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 3051517 of 05/08/2003)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 3051517 of 05/08/2003)

6) Placing of financial instruments without a firm commitment basis (Notification 3051517 of 05/08/2003)

7) Investment advice (Notification 3051517 of 05/08/2003)

8) Execution of orders on behalf of clients (Notification 3051517 of 05/08/2003)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 3051517 of 05/08/2003)

10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAZARD ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Stratton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wij 8ll - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>868</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 3060711 of 23/09/2003)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 3060711 of 23/09/2003)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Execution of orders on behalf of clients (Notification 74054 of 10/10/2000)
5) Portfolio management (Notification 74054 of 10/10/2000)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 74054 of 10/10/2000)
7) Investment advice (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LAZULI PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s4ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0048344/14 of 10/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3975</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0048344/14 of 10/06/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0048344/14 of 10/06/2014)
3) Investment advice (Notification 0048344/14 of 10/06/2014)
4) Execution of orders on behalf of clients (Notification 0048344/14 of 10/06/2014)
5) Portfolio management (Notification 0048344/14 of 10/06/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0048344/14 of 10/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LCM COMMODITIES UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>130 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13056012 of 27/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3735</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13056012 of 27/06/2013)
2) Investment advice (Notification 13056012 of 27/06/2013)
3) Execution of orders on behalf of clients (Notification 13056012 of 27/06/2013)
4) Dealing on own account (Notification 13056012 of 27/06/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13056012 of 27/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Author: LEE OVERLAY PARTNER LIMITED

**Investment firm:** West Pier Campus, Dun Laoghaire

**City:** Codublin - Dublino

**Country:** Irlanda

**Notification of Registration:** n. 1007326 of 31/01/2001

**Registration no.:** 1095

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 1007326 of 31/01/2001)

2) Investment advice (Notification 1007326 of 31/01/2001)

3) Execution of orders on behalf of clients (Notification 1007326 of 31/01/2001)

4) Portfolio management (Notification 1007326 of 31/01/2001)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1007326 of 31/01/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEGAL &amp; GENERAL INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Coleman Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 5aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2076660 of 22/11/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1325</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11045249 of 20/05/2011)
2) Investment advice (Notification 2076660 of 22/11/2002)
3) Execution of orders on behalf of clients (Notification 2076660 of 22/11/2002)
4) Portfolio management (Notification 2076660 of 22/11/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: LEGG MASON INVESTMENTS (EUROPE) LIMITED

Registered office: 201 Bishopsgate

City: Ec2m 3ab - Londra

Country: Regno Unito

Notification of Registration: n. 4024024 of 17/03/2004

Registration no.: 1857

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4024024 of 17/03/2004)
2) Portfolio management (Notification 4024024 of 17/03/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4024024 of 17/03/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LEHMANN BROTHERS INTERNATIONAL (EUROPE)

Registered office: 25, Bank Street

City: E 1455le - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 192

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7105497 of 30/11/2007)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7105497 of 30/11/2007)
3) 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 (Notification 96000620 of 03/01/1996)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
6) Services related to underwriting (Notification 96000620 of 03/01/1996)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
9) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
10) Investment advice (Notification 96000620 of 03/01/1996)
11) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
12) Portfolio management (Notification 96000620 of 03/01/1996)
13) Dealing on own account (Notification 96000620 of 03/01/1996)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEIGHTON BROTHERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Highbury Hill</td>
</tr>
<tr>
<td>City:</td>
<td>N5 1su - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11083733 of 11/10/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3278</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11083733 of 11/10/2011)
2) Placing of financial instruments without a firm commitment basis (Notification 11083733 of 11/10/2011)
3) Investment advice (Notification 11083733 of 11/10/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11083733 of 11/10/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

**Investment firm:** LEK SECURITIES UK LIMITED

**Registered office:** 288 Bishopsgate

**City:** Ec2m4qp - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 10047844 of 25/05/2010

**Registration no.:** 2869

### Services Provided in Italy

1. **Dealing on own account** (Notification 0098266/17 of 08/08/2017)
2. **Safekeeping and administration of financial instruments for the account of clients,** including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10047844 of 25/05/2010)
3. **Execution of orders on behalf of clients** (Notification 10047844 of 25/05/2010)
4. **Reception and transmission of orders in relation to one or more financial instruments** (Notification 10047844 of 25/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LENNO GLOBAL ADVISORY JSC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Maria Luiza Blvd</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Sofia</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgária</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0466248/18 of 14/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4894</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0466248/18 of 14/11/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0466248/18 of 14/11/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0466248/18 of 14/11/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0466248/18 of 14/11/2018)

5) Execution of orders on behalf of clients (Notification 0466248/18 of 14/11/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0466248/18 of 14/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEONI SCETI ADVISORY &amp; MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>169 Piccadilly, Dudley House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j9eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11079651 of 23/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3274</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11079651 of 23/09/2011)
2) Execution of orders on behalf of clients (Notification 11079651 of 23/09/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11079651 of 23/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEONTEQ SECURITIES (EUROPE) GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Goetheplatz 2</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11095227 of 28/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3320</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11095227 of 28/11/2011)
2) Investment advice (Notification 11095227 of 28/11/2011)
3) Execution of orders on behalf of clients (Notification 11095227 of 28/11/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11095227 of 28/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEUCADIA INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bracken House One Friday Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3072237 of 05/11/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1393</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3072237 of 05/11/2003)  
2) Portfolio management (Notification 3072237 of 05/11/2003)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3072237 of 05/11/2003)  
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LEVERATE FINANCIAL SERVICES LIMITED

Registered office: 88, Agias Fylaxeos Zavos City Center

City: 3311 - Limassol

Country: Cipro

Notification of Registration: n. 12027327 of 05/04/2012

Registration no.: 3395

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0029799/17 of 07/03/2017)
2) Portfolio management (Notification 0029799/17 of 07/03/2017)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0034520 of 17/03/2017)
4) 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 (Notification 12027327 of 05/04/2012)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12027327 of 05/04/2012)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 12027327 of 05/04/2012)
7) Execution of orders on behalf of clients (Notification 12027327 of 05/04/2012)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 12027327 of 05/04/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LEXINGTON PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42, Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002432/14 of 13/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3885</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002432/14 of 13/01/2014)

2) Investment advice (Notification 0002432/14 of 13/01/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002432/14 of 13/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: L.F. INVESTMENT LIMITED

Registered office: 11 Louki Akrita

City: 4044 - Limassol

Country: Cipro

Notification of Registration: n. 0081715/15 of 21/10/2015

Registration no.: 4246

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0081715/15 of 21/10/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0081715/15 of 21/10/2015)

3) Execution of orders on behalf of clients (Notification 0081715/15 of 21/10/2015)

4) Portfolio management (Notification 0081715/15 of 21/10/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081715/15 of 21/10/2015)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0532199/18 of 18/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LF REAL ESTATE PARTNERS INTERNATIONAL UK FINANCE LIMITED

Registered office: 1st Floor, 16 Berkeley St

City: W1j 8dz - Londra

Country: Regno Unito

Notification of Registration: n. 6073715 of 13/09/2006

Registration no.: 1701

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6073715 of 13/09/2006)
2) Investment advice (Notification 6073715 of 13/09/2006)
3) Execution of orders on behalf of clients (Notification 6073715 of 13/09/2006)
4) Portfolio management (Notification 6073715 of 13/09/2006)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6073715 of 13/09/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LGB &amp; CO. LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009607 of 05/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3621</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13009607 of 05/02/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13009607 of 05/02/2013)

3) Investment advice (Notification 13009607 of 05/02/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009607 of 05/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LGM INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>95 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 1hh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10050203 of 31/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2873</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10050203 of 31/05/2010)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 10050203 of 31/05/2010)
3) Investment advice (Notification 10050203 of 31/05/2010)
4) Execution of orders on behalf of clients (Notification 10050203 of 31/05/2010)
5) Portfolio management (Notification 10050203 of 31/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LGT CAPITAL PARTNERS (U.K.) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6066058 of 02/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1686</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6066058 of 02/08/2006)
2) Investment advice (Notification 6066058 of 02/08/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6066058 of 02/08/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>LGT IMPACT INVESTMENT ADVISORS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>1 St. James’S Market</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sw1y4ah - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0536372/18 of 19/12/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4911</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0536372/18 of 19/12/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0536372/18 of 19/12/2018)

3) Investment advice (Notification 0536372/18 of 19/12/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0536372/18 of 19/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LGT VESTRA LLP

Registered office: 14 Cornhill

City: Ec3v 3nr - Londra

Country: Regno Unito

Notification of Registration: n. 7091235 of 11/10/2007

Registration no.: 1863

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0096531/17 of 04/08/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10024552 of 19/03/2010)
3) Placing of financial instruments without a firm commitment basis (Notification 10024552 of 19/03/2010)
4) Execution of orders on behalf of clients (Notification 10024552 of 19/03/2010)
5) Portfolio management (Notification 10024552 of 19/03/2010)
6) Investment advice (Notification 7091235 of 11/10/2007)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 7091235 of 11/10/2007)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LGT VESTRA US LIMITED

Registered office: 14 Cornhill

City: Ec3v3nr - Londra

Country: Regno Unito

Notification of Registration: n. 13034444 of 23/04/2013

Registration no.: 3681

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13034444 of 23/04/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13034444 of 23/04/2013)

3) Investment advice (Notification 13034444 of 23/04/2013)

4) Execution of orders on behalf of clients (Notification 13034444 of 23/04/2013)

5) Portfolio management (Notification 13034444 of 23/04/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13034444 of 23/04/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8044998 of 13/05/2008)
2) Investment advice (Notification 8044998 of 13/05/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8044998 of 13/05/2008)

Please make reference to the Supervisory home Authority website, in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIBERUM CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ropemaker Place, 25 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7059609 of 27/06/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1804</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7059609 of 27/06/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7059609 of 27/06/2007)
3) Services related to underwriting (Notification 7059609 of 27/06/2007)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 7059609 of 27/06/2007)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7059609 of 27/06/2007)
6) Placing of financial instruments without a firm commitment basis (Notification 7059609 of 27/06/2007)
7) Investment advice (Notification 7059609 of 27/06/2007)
8) Execution of orders on behalf of clients (Notification 7059609 of 27/06/2007)
9) Dealing on own account (Notification 7059609 of 27/06/2007)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 7059609 of 27/06/2007)
11) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LINCOLN PRIVATE INVESTMENT OFFICE LLP

Registered office: 52 Grosvenor Gardens

City: Sw1w0au - Londra

Country: Regno Unito

Notification of Registration: n. 0051479/14 of 19/06/2014

Registration no.: 3980

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0051479/14 of 19/06/2014)
2) Execution of orders on behalf of clients (Notification 0051479/14 of 19/06/2014)
3) Portfolio management (Notification 0051479/14 of 19/06/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051479/14 of 19/06/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LIND CAPITAL FONDSMAEGLERSELSKAB A/S

Registered office: Vaerkmestergade 3,2

City: 8000 - Arhus

Country: Danimarca

Notification of Registration: n. 0039427/14 of 13/05/2014

Registration no.: 3962

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0039427/14 of 13/05/2014)
2) Execution of orders on behalf of clients (Notification 0039427/14 of 13/05/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0039427/14 of 13/05/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LINDSELL TRAIN LIMITED

Registered office: 66 Buckingham Gate
City: Sw1e 6au - Londra
Country: Regno Unito
Notification of Registration: n. 0102297/18 of 09/04/2018
Registration no.: 4802

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0102297/18 of 09/04/2018)
2) Investment advice (Notification 0102297/18 of 09/04/2018)
3) Execution of orders on behalf of clients (Notification 0102297/18 of 09/04/2018)
4) Portfolio management (Notification 0102297/18 of 09/04/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102297/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LINEAR INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-10 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0d - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021962 of 24/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3111</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0097727/17 of 07/08/2017)
2) Investment advice (Notification 11021962 of 24/03/2011)
3) Execution of orders on behalf of clients (Notification 11021962 of 24/03/2011)
4) Portfolio management (Notification 11021962 of 24/03/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11021962 of 24/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LINEAR MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Pegeant Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>Se16 5fz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025999/16 of 24/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4350</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0025999/16 of 24/03/2016)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025999/16 of 24/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>LINGOHR &amp; PARTNER ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Heinrich-Von-Kleist-Str. 4</td>
</tr>
<tr>
<td>City:</td>
<td>40699 - Erkrath</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8003612 of 15/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2173</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8003612 of 15/01/2008)
2) Portfolio management (Notification 8003612 of 15/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LINK MARKET SERVICES TRUSTEES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Beckenham Road</td>
</tr>
<tr>
<td>City:</td>
<td>Br3 4tu - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7110527 of 19/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2124</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7110527 of 19/12/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7110527 of 19/12/2007)
3) Execution of orders on behalf of clients (Notification 7110527 of 19/12/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7110527 of 19/12/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIONTREE ADVISORS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Burlington Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>W1s3p - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084873/17 of 03/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4625</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0084873/17 of 03/07/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084873/17 of 03/07/2017)
3) Services related to underwriting (Notification 0084873/17 of 03/07/2017)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0084873/17 of 03/07/2017)
5) Investment advice (Notification 0084873/17 of 03/07/2017)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084873/17 of 03/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIONTRUST INVESTMENT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Savoy Court</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2r 0ez - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0113022/18 of 17/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4808</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0113022/18 of 17/04/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0113022/18 of 17/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUID CAPITAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>95 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0130945/17 of 03/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4744</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

- 1) Dealing on own account (Notification 0130945/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUIDITY FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Crown Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a4eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0010851/14 of 10/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3903</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0010851/14 of 10/02/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0010851/14 of 10/02/2014)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0010851/14 of 10/02/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0010851/14 of 10/02/2014)

5) Investment advice (Notification 0010851/14 of 10/02/2014)

6) Execution of orders on behalf of clients (Notification 0010851/14 of 10/02/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0010851/14 of 10/02/2014)

8) Portfolio management (Notification 0023322/14 of 26/03/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUIDITY FINDER LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 Albert Square London</td>
</tr>
<tr>
<td>City:</td>
<td>Sw81da - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0413711/18 of 17/10/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4885</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 0413711/18 of 17/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUIDITYEDGE UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ex - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0033722/16 of 15/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4359</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033722/16 of 15/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUIDNET EU LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Exchange George’S Dock Dublin 1</td>
</tr>
<tr>
<td>City:</td>
<td>D01 P2v6 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0186548/19 of 05/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5009</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients *(Notification 0186548/19 of 05/04/2019)*  
2) Operation of an MTF *(Notification 0186548/19 of 05/04/2019)*  
3) Reception and transmission of orders in relation to one or more financial instruments *(Notification 0186548/19 of 05/04/2019)*

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIQUIDNET EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Th Floor 3 Finsbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 1ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1095615 of 31/12/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1217</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 1095615 of 31/12/2001)
2) Execution of orders on behalf of clients (Notification 3049022 of 24/07/2003)
3) Operation of an MTF (Notification 8051939 of 30/05/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIRUNEX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Gorgonon Patsalos Plaza Office 305</td>
</tr>
<tr>
<td>City:</td>
<td>- Larnaca</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120369/17 of 25/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4699</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0120369/17 of 25/10/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0120369/17 of 25/10/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0120369/17 of 25/10/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0120369/17 of 25/10/2017)

5) Execution of orders on behalf of clients (Notification 0120369/17 of 25/10/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0120369/17 of 25/10/2017)

7) Portfolio management (Notification 0591897/19 of 01/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LITEFOREX (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22, Georgiou Griva Digheni Street</td>
</tr>
<tr>
<td>City:</td>
<td>3106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9072453 of 03/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2650</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 9072453 of 03/08/2009)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9072453 of 03/08/2009)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9072453 of 03/08/2009)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 9072453 of 03/08/2009)

5) Execution of orders on behalf of clients (Notification 9072453 of 03/08/2009)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9072453 of 03/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LIVALOR VERMOGENSVERWALTUNG (LIECHTENSTEIN) AG

Registered office: Schmedgass 6

City: 9490 - Vaduz

Country: Liechtenstein

Notification of Registration: n. 0012618/15 of 20/02/2015

Registration no.: 4106

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012618/15 of 20/02/2015)
2) Investment advice (Notification 0012618/15 of 20/02/2015)
3) Portfolio management (Notification 0012618/15 of 20/02/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012618/15 of 20/02/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LIVEMARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Kingdom Street</td>
</tr>
<tr>
<td>City:</td>
<td>W2 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054861/17 of 26/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4597</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0054861/17 of 26/04/2017)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 0054861/17 of 26/04/2017)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0054861/17 of 26/04/2017)
4. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0672325/19 of 30/10/2019)
5. Execution of orders on behalf of clients (Notification 0672325/19 of 30/10/2019)
6. Dealing on own account (Notification 0672325/19 of 30/10/2019)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LL CAPITAL & PARTNERS LTD

Registered office: Il-Piazzetta A Suite 52 Level 5 Tower Road

City: Sliema

Country: Malta

Notification of Registration: n. 10040057 of 04/05/2010

Registration no.: 2849

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0064798/13 of 29/07/2013)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0064798/13 of 29/07/2013)
3) Investment advice (Notification 10040057 of 04/05/2010)
4) Portfolio management (Notification 10040057 of 04/05/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10040057 of 04/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LLOYD BAUGHAN LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5jk - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070117 of 10/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2934</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10070117 of 10/08/2010)
2) Investment advice (Notification 10070117 of 10/08/2010)
3) Execution of orders on behalf of clients (Notification 10070117 of 10/08/2010)
4) Portfolio management (Notification 10070117 of 10/08/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070117 of 10/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LLOYDS BANK CORPORATE MARKETS WERTPAPIERHANDELSBANK GMBH

Registered office: Thurn-Und-Taxis-Platz 6

City: 60313 - Francoforte

Country: Germania

Notification of Registration: n. 0169571/19 of 01/04/2019

Registration no.: 5008

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0169571/19 of 01/04/2019)

2) Services related to underwriting (Notification 0169571/19 of 01/04/2019)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0169571/19 of 01/04/2019)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0169571/19 of 01/04/2019)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0169571/19 of 01/04/2019)

6) Placing of financial instruments without a firm commitment basis (Notification 0169571/19 of 01/04/2019)

7) Investment advice (Notification 0169571/19 of 01/04/2019)

8) Execution of orders on behalf of clients (Notification 0169571/19 of 01/04/2019)

9) Dealing on own account (Notification 0169571/19 of 01/04/2019)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0169571/19 of 01/04/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LMAX BROKER EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Spyrou Kyprianou Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>3070 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105419/17 of 11/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4674</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0105419/17 of 11/09/2017)
2) Execution of orders on behalf of clients (Notification 0105419/17 of 11/09/2017)
3) Dealing on own account (Notification 0105419/17 of 11/09/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105419/17 of 11/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment Firm: LMAX BROKER LIMITED

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LMAX BROKER LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Nicholas Road, Yellow Building</td>
</tr>
<tr>
<td>City:</td>
<td>W11 4an - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0137583/17 of 03/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4741</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0137583/17 of 03/01/2018)
2) Execution of orders on behalf of clients (Notification 0137583/17 of 03/01/2018)
3) Dealing on own account (Notification 0137583/17 of 03/01/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0137583/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LMAX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Nicholas Road</td>
</tr>
<tr>
<td>City:</td>
<td>W11 4an - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10072609 of 26/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2959</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10072609 of 26/08/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10072609 of 26/08/2010)

3) Execution of orders on behalf of clients (Notification 10072609 of 26/08/2010)

4) Operation of an MTF (Notification 10072609 of 26/08/2010)

5) Dealing on own account (Notification 10072609 of 26/08/2010)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10072609 of 26/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LOGIC INVESTMENTS LTD

Registered office: 52 Grosvenor Gardens

City: Sw1w 0au - Londra

Country: Regno Unito

Notification of Registration: n. 10096903 of 24/11/2010

Registration no.: 3025

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10096903 of 24/11/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10096903 of 24/11/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10096903 of 24/11/2010)

4) Investment advice (Notification 10096903 of 24/11/2010)

5) Execution of orders on behalf of clients (Notification 10096903 of 24/11/2010)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10096903 of 24/11/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOMBARD ODIER ASSET MANAGEMENT (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Old Burlingtons Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10074981 of 08/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2965</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10074981 of 08/09/2010)
2) Investment advice (Notification 10074981 of 08/09/2010)
3) Execution of orders on behalf of clients (Notification 10074981 of 08/09/2010)
4) Portfolio management (Notification 10074981 of 08/09/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10074981 of 08/09/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOMBARD STREET RESEARCH FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Watling Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9br - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10038978 of 30/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2838</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10038978 of 30/04/2010)

2) Investment advice (Notification 10038978 of 30/04/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDINUM DESIGNATED ACTIVITY COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pepper Canister House Mount Street Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9058082 of 22/06/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2613</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9058082 of 22/06/2009)
2) Portfolio management (Notification 9058082 of 22/06/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>LONDON &amp; EASTERN LLP</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8-09 Talbout Court</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 0bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0032053/16 of 11/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4354</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0032053/16 of 11/04/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0032053/16 of 11/04/2016)

3) Investment advice (Notification 0032053/16 of 11/04/2016)

4) Portfolio management (Notification 0032053/16 of 11/04/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0032053/16 of 11/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LONDON AND OXFORD CAPITAL MARKETS LIMITED

Registered office: 5 Frederick'S Place

City: Ec2r 8jq - Londra

Country: Regno Unito

Notification of Registration: n. 96059817 of 15/07/1996

Registration no.: 524

SERVICES PROVIDED IN ITALY

1) 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 (Notification 96059817 of 15/07/1996)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)

3) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)

4) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)

5) Dealing on own account (Notification 96059817 of 15/07/1996)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LONDON BRIDGE CAPITAL LIMITED

Registered office: Gilmoora House 57-61

City: W1w 8hs - Londra

Country: Regno Unito

Notification of Registration: n. 0015813/16 of 23/02/2016

Registration no.: 4330

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0015813/16 of 23/02/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0015813/16 of 23/02/2016)

3) Investment advice (Notification 0015813/16 of 23/02/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015813/16 of 23/02/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON CAPITAL GROUP (CYPRUS) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>205 Arch. Makariou Li Victory House</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0030115/18 of 07/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4770</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0030115/18 of 07/02/2018)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0030115/18 of 07/02/2018)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0030115/18 of 07/02/2018)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0030115/18 of 07/02/2018)
5) Execution of orders on behalf of clients (Notification 0030115/18 of 07/02/2018)
6) Portfolio management (Notification 0030115/18 of 07/02/2018)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0030115/18 of 07/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: LONDON CAPITAL GROUP LTD

Registered office: 6 Devonshire Square

City: Ec2m 4ab - Londra

Country: Regno Unito

Notification of Registration: n. 2072139 of 05/11/2002

Registration no.: 1315

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10095465 of 18/11/2010)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10095465 of 18/11/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10095465 of 18/11/2010)

4) Dealing on own account (Notification 2072139 of 05/11/2002)

5) Execution of orders on behalf of clients (Notification 8045857 of 15/05/2008)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON COURT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Magpies Pyrton</td>
</tr>
<tr>
<td>City:</td>
<td>Ox49 5ap - Watlington</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4083295 of 22/09/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1475</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4083295 of 22/09/2004)
2) Investment advice (Notification 4083295 of 22/09/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4083295 of 22/09/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON DERIVATIVES EXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ecn7 Bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0001770/15 of 12/01/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4081</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0001770/15 of 12/01/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>LONDON INTERNATIONAL CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Bahram Court, Teston, Maidstone</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Me185bz - Kent</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0085689/13 of 29/10/2013</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3841</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0085689/13 of 29/10/2013)
2) Investment advice (Notification 0085689/13 of 29/10/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085689/13 of 29/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON INVESTMENT CONSULTANTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Creed Court, 5 Ludgate Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4 M7aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12042441 of 21/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3428</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12042441 of 21/05/2012)

2) Investment advice (Notification 12042441 of 21/05/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12042441 of 21/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON MANAGEMENT GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>105 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 7nj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0004188/16 of 18/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4304</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0004188/16 of 18/01/2016)
2) Investment advice (Notification 0004188/16 of 18/01/2016)
3) Portfolio management (Notification 0004188/16 of 18/01/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004188/16 of 18/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0124432/17 of 07/11/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0124432/17 of 07/11/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0124432/17 of 07/11/2017)

4) Services related to underwriting (Notification 0124432/17 of 07/11/2017)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0124432/17 of 07/11/2017)

6) Investment advice (Notification 0124432/17 of 07/11/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON MERCHANT BANK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office: 7200</td>
<td>The Quorum Oxford Business</td>
</tr>
<tr>
<td>City: 7200 The Quorum</td>
<td>Park North</td>
</tr>
<tr>
<td>Oxf42jz - Londra</td>
<td>4595</td>
</tr>
<tr>
<td>Country: Regno Unito</td>
<td>n. 0050562/17 of 19/04/2017</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0050562/17 of 19/04/2017</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0050562/17 of 19/04/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050562/17 of 19/04/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0050562/17 of 19/04/2017)

4) Investment advice (Notification 0050562/17 of 19/04/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050562/17 of 19/04/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONDON WALL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Salisbury House London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 5qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036970/18 of 14/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4772</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0036970/18 of 14/02/2018)

2) Investment advice (Notification 0036970/18 of 14/02/2018)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0036970/18 of 14/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONE STAR EUROPE ACQUISITIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Queen Anne Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9lf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5105</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0606228/19 of 07/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONGVIEW PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Thames Court, 1 Queenhithe</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 3rl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12060016 of 17/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3470</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12060016 of 17/07/2012)
2) Investment advice (Notification 12060016 of 17/07/2012)
3) Portfolio management (Notification 12060016 of 17/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONSDALE FINANCIAL CONSULTING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Mount Ephraim Road Tunbridge Wells</td>
</tr>
<tr>
<td>City:</td>
<td>Tn1 1ed - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5106</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)

2) Investment advice (Notification 0606228/19 of 07/10/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LONSIN CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hamilton Huse 1 Temple Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y0ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0119292/17 of 23/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4698</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0119292/17 of 23/10/2017)
2) Execution of orders on behalf of clients (Notification 0119292/17 of 23/10/2017)
3) Portfolio management (Notification 0119292/17 of 23/10/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0119292/17 of 23/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOOMIS SAYLES INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 St. James’S Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12056401 of 04/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3465</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0061570/14 of 23/07/2014)
2) Portfolio management (Notification 0061570/14 of 23/07/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061570/14 of 23/07/2014)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12056401 of 04/07/2012)
5) Investment advice (Notification 12056401 of 04/07/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOPPEX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 First Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ub3 2eq - Middlesex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12098042 of 18/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3580</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12098042 of 18/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **LORD NORTH STREET LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>6 Duke Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Sw1y 6bn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11016862 of 04/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3094</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11016862 of 04/03/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11016862 of 04/03/2011)
3) Investment advice (Notification 11016862 of 04/03/2011)
4) Execution of orders on behalf of clients (Notification 11016862 of 04/03/2011)
5) Portfolio management (Notification 11016862 of 04/03/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11016862 of 04/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOUIS CAPITAL MARKETS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>130 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047940 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2865</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10047940 of 25/05/2010)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 10047940 of 25/05/2010)
3) Investment advice (Notification 10047940 of 25/05/2010)
4) Execution of orders on behalf of clients (Notification 10047940 of 25/05/2010)
5) Dealing on own account (Notification 10047940 of 25/05/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047940 of 25/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOVEWELL BLAKE FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>102 Price Of Wales Road, Norfolk</td>
</tr>
<tr>
<td>City:</td>
<td>Nr1 1ny - Norwich</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8056815 of 16/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2326</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8056815 of 16/06/2008)
2) Investment advice (Notification 8056815 of 16/06/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8056815 of 16/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LOWES FINANCIAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Clayton Road, Jesmond Tyne And Wear</td>
</tr>
<tr>
<td>City:</td>
<td>Ne2 1tl - Newcastle</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8017455 of 27/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2233</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8017455 of 27/02/2008)
2) Investment advice (Notification 8017455 of 27/02/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8017455 of 27/02/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LOWNDES PARTNERS GROUP LLP

Registered office: 33 Lancaster Gate

City: W2 3lp - Londra

Country: Regno Unito

Notification of Registration: n. 11017385 of 08/03/2011

Registration no.: 3102

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11017385 of 08/03/2011)

2) Investment advice (Notification 11017385 of 08/03/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>LOYS AG</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td><strong>Alte Amalienstrasse 30</strong></td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td><strong>D26135 - Oldenburg</strong></td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td><strong>Germania</strong></td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td><strong>n. 0112870/17 of 04/10/2017</strong></td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td><strong>4690</strong></td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0112870/17 of 04/10/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0112870/17 of 04/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LQD MARKETS (UK) LIMITED

Registered office: 20 Primrose Street

City: Ec2a 2ew - Londra

Country: Regno Unito

Notification of Registration: n. 0052136/14 of 20/06/2014

Registration no.: 3982

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0052136/14 of 20/06/2014)
2) Dealing on own account (Notification 0052136/14 of 20/06/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0052136/14 of 20/06/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LTTRADER LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Spyrou Kyprianou Avenue Steratzias Court</td>
</tr>
<tr>
<td>City:</td>
<td>4003 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057328/18 of 02/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4782</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 0057328/18 of 02/03/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0057328/18 of 02/03/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0057328/18 of 02/03/2018)

4) Execution of orders on behalf of clients (Notification 0057328/18 of 02/03/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0057328/18 of 02/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LUDGATE INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005193/14 of 22/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3894</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0005193/14 of 22/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LUMIN WEALTH MANAGEMENT LIMITED

Registered office: 5 Sandridge Park Porters Wood

City: Al3 6ph - Londra

Country: Regno Unito

Notification of Registration: n. 0002982/17 of 11/01/2017

Registration no.: 4536

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002982/17 of 11/01/2017)
2) Investment advice (Notification 0002982/17 of 11/01/2017)
3) Execution of orders on behalf of clients (Notification 0002982/17 of 11/01/2017)
4) Portfolio management (Notification 0002982/17 of 11/01/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002982/17 of 11/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LUNA WEALTH ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Ionos Street, Floor 1, Flat 101</td>
</tr>
<tr>
<td>City:</td>
<td>2406 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0826825/19 of 20/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5143</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0826825/19 of 20/12/2019)
2) Investment advice (Notification 0826825/19 of 20/12/2019)
3) Execution of orders on behalf of clients (Notification 0826825/19 of 20/12/2019)
4) Portfolio management (Notification 0826825/19 of 20/12/2019)
5) Dealing on own account (Notification 0826825/19 of 20/12/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0826825/19 of 20/12/2019)

Please make reference to the Supervisory home Authority's website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: LUXOR ASSET MANAGEMENT TRUST REG.

Registered office: Landstrasse 14

City: 9496 - Balzers

Country: Liechtenstein

Notification of Registration: n. 12097255 of 14/12/2012

Registration no.: 3577

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12097255 of 14/12/2012)
2) Investment advice (Notification 12097255 of 14/12/2012)
3) Portfolio management (Notification 12097255 of 14/12/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12097255 of 14/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LXM FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y5jg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038202/15 of 15/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4164</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0038202/15 of 15/05/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0038202/15 of 15/05/2015)
3) Dealing on own account (Notification 0097724/17 of 07/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0083090/17 of 27/06/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0083090/17 of 27/06/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0083090/17 of 27/06/2017)

4) Execution of orders on behalf of clients (Notification 0083090/17 of 27/06/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083090/17 of 27/06/2017)

6) Investment advice (Notification 0270797/18 of 23/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LYNX B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 527</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Bv - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0082064/14 of 16/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4047</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0082064/14 of 16/10/2014)
2) Execution of orders on behalf of clients (Notification 0082064/14 of 16/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>LYPXOR ASSET MANAGEMENT UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Tower Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 4sg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9083025 of 22/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2677</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9083025 of 22/09/2009)
2) Portfolio management (Notification 9083025 of 22/09/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9083025 of 22/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>M D BARNARD &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17-21 New Century Road Laindon Basildon</td>
</tr>
<tr>
<td>City:</td>
<td>Ss15 6ag - Essex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8097816 of 23/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2454</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0097725/17 of 07/08/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8097816 of 23/10/2008)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8097816 of 23/10/2008)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 8097816 of 23/10/2008)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8097816 of 23/10/2008)
6) Placing of financial instruments without a firm commitment basis (Notification 8097816 of 23/10/2008)
7) Investment advice (Notification 8097816 of 23/10/2008)
8) Execution of orders on behalf of clients (Notification 8097816 of 23/10/2008)
9) Portfolio management (Notification 8097816 of 23/10/2008)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 8097816 of 23/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAC ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Green Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 7ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0605389/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5093</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0605389/19 of 07/10/2019)
2) Portfolio management (Notification 0605389/19 of 07/10/2019)
3) Dealing on own account (Notification 0605389/19 of 07/10/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0605389/19 of 07/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **MACINTOSH JAMES AND PARTNERS LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>South Parade, Sovereign House</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>LS1 5QL - Leeds</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099817 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1997</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099817 of 09/11/2007)
2) Investment advice (Notification 7099817 of 09/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099817 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MACQUAIRE STRUCTURED SECURITIES (EUROPE) PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Connaught House 1 Burlington Road</td>
</tr>
<tr>
<td>City:</td>
<td>- Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0164838/19 of 28/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5000</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0164838/19 of 28/03/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0164838/19 of 28/03/2019)
3) Services related to underwriting (Notification 0164838/19 of 28/03/2019)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0164838/19 of 28/03/2019)
5) Placing of financial instruments without a firm commitment basis (Notification 0164838/19 of 28/03/2019)
6) Investment advice (Notification 0164838/19 of 28/03/2019)
7) Execution of orders on behalf of clients (Notification 0164838/19 of 28/03/2019)
8) Dealing on own account (Notification 0164838/19 of 28/03/2019)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0164838/19 of 28/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MACQUARIE CAPITAL (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6052362 of 22/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1085</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6052362 of 22/01/2001)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6052362 of 22/01/2001)
3) Placing of financial instruments without a firm commitment basis (Notification 6052362 of 22/01/2001)
4) Investment advice (Notification 6052362 of 22/01/2001)
5) Execution of orders on behalf of clients (Notification 6052362 of 22/01/2001)
6) Dealing on own account (Notification 6052362 of 22/01/2001)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 6052362 of 22/01/2001)
8) 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 (Notification 6052362 of 14/06/2006)
9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
10) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9076225 of 19/08/2009)
11) Services related to underwriting (Notification 9076225 of 19/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: MACQUARIE CAPITAL (IRELAND) DESIGNATED ACTIVITY COMPANY

Registered office: 1 Burlington Road

City: Dublin 4 - Dublino

Country: Irlanda

Notification of Registration: n. 0164838/19 of 28/03/2019

Registration no.: 5006

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0164838/19 of 28/03/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0164838/19 of 28/03/2019)
3) Services related to underwriting (Notification 0164838/19 of 28/03/2019)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0164838/19 of 28/03/2019)
5) Placing of financial instruments without a firm commitment basis (Notification 0164838/19 of 28/03/2019)
6) Investment advice (Notification 0164838/19 of 28/03/2019)
7) Execution of orders on behalf of clients (Notification 0164838/19 of 28/03/2019)
8) Dealing on own account (Notification 0164838/19 of 28/03/2019)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0164838/19 of 28/03/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MACQUARIE INVESTMENT MANAGEMENT EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ropemaker Place 28 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0013317/17 of 30/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4552</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0013317/17 of 30/01/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0013317/17 of 30/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MACQUARIE INVESTMENT MANAGEMENT EUROPE S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Rue Maire Adelaide</td>
</tr>
<tr>
<td>City:</td>
<td>L2128 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0411985/18 of 16/10/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4883</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0411985/18 of 16/10/2018)
2) Portfolio management (Notification 0411985/18 of 16/10/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0411985/18 of 16/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MACROCAPITAL LIMITED

Registered office: Flat D 53 Queens Gate Gardens

City: Sw7 5nf - Londra

Country: Regno Unito

Notification of Registration: n. 1024751 of 05/04/2001

Registration no.: 1111

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 1024751 of 05/04/2001)
2) Investment advice (Notification 1024751 of 05/04/2001)
3) Execution of orders on behalf of clients (Notification 1024751 of 05/04/2001)
4) Portfolio management (Notification 1024751 of 05/04/2001)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1024751 of 05/04/2001)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAGI AVIATION CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Royal Exchange Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3lt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0425095/19 of 22/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5056</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0425095/19 of 22/07/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0425095/19 of 22/07/2019)

3) Investment advice (Notification 0425095/19 of 22/07/2019)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0425095/19 of 22/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAGIC COMPASS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sarlo 9 Agios Athanasios</td>
</tr>
<tr>
<td>City:</td>
<td>4106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021962/17 of 16/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4562</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0021962/17 of 16/02/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0021962/17 of 16/02/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021962/17 of 16/02/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0021962/17 of 16/02/2017)

5) Execution of orders on behalf of clients (Notification 0021962/17 of 16/02/2017)

6) Portfolio management (Notification 0021962/17 of 16/02/2017)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021962/17 of 16/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAGILL &amp; COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>303 Titchfield Road, Titchfield Fareham</td>
</tr>
<tr>
<td>City:</td>
<td>Po14 3er - Hampshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>398</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7110056 of 18/12/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7110056 of 18/12/2007)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
### (DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAGNA CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>58 Queen Anne Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 8hw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10040059 of 04/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2848</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099164/13 of 30/12/2013)
2) Investment advice (Notification 10040059 of 04/05/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10040059 of 04/05/2010)
4) Execution of orders on behalf of clients (Notification 11096406 of 02/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAGNASALE TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>148 Strovolos Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>2048 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0055817/16 of 15/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4416</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0055817/16 of 15/06/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0055817/16 of 15/06/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0055817/16 of 15/06/2016)

4) Execution of orders on behalf of clients (Notification 0055817/16 of 15/06/2016)

5) Dealing on own account (Notification 0055817/16 of 15/06/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0055817/16 of 15/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MAGNUM FX (CYPRUS) LTD

Registered office: 2 Riga Feraiou Office 201 - 203

City: 3095 - Limassol

Country: Cipro

Notification of Registration: n. 0379442/18 of 01/10/2018

Registration no.: 4879

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0379442/18 of 01/10/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0379442/18 of 01/10/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0379442/18 of 01/10/2018)

4) Execution of orders on behalf of clients (Notification 0379442/18 of 01/10/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0379442/18 of 01/10/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>MAGUS ENERGY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>30 Stamford Street WeWork South Bank Central</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>SE1 9LQ - London</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0370586/19 of 26/06/2019</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>5045</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0370586/19 of 26/06/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0370586/19 of 26/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAHI FX (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>115 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6rt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0078091/17 of 14/06/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4617</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0078091/17 of 14/06/2017)  
2) Execution of orders on behalf of clients (Notification 0078091/17 of 14/06/2017)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078091/17 of 14/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MAHRBERG WEALTH AG

Registered office: Industriestrasse 2

City: Fl 9487 - Bendern

Country: Liechtenstein

Notification of Registration: n. 10032272 of 12/04/2010

Registration no.: 2829

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10032272 of 12/04/2010)
2) Investment advice (Notification 10032272 of 12/04/2010)
3) Portfolio management (Notification 10032272 of 12/04/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10032272 of 12/04/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAIESTAS ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bergstrasse 10</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9067342 of 20/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2636</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9067342 of 20/07/2009)
2) Investment advice (Notification 9067342 of 20/07/2009)
3) Portfolio management (Notification 9067342 of 20/07/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9067342 of 20/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAINSTREET CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Bryanston Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 7aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12009039 of 07/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3343</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12009039 of 07/02/2012)
2) Investment advice (Notification 12009039 of 07/02/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009039 of 07/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAJEDIE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Old Bailey</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7ng - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071349/15 of 11/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4231</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0071349/15 of 11/09/2015)

2) Portfolio management (Notification 0071349/15 of 11/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAKO FINANCIAL MARKETS PARTNERSHIP LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Appold Street, Broadgate West</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4027808 of 30/03/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1432</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 4027808 of 30/03/2004)
2) Execution of orders on behalf of clients (Notification 4027808 of 30/03/2004)
3) Dealing on own account (Notification 4027808 of 30/03/2004)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 4027808 of 30/03/2004)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAKOR SECURITIES LONDON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7/8 Saville Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s3pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0051030/15 of 25/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4195</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0051030/15 of 25/06/2015)
2) Investment advice (Notification 0051030/15 of 25/06/2015)
3) Execution of orders on behalf of clients (Notification 0051030/15 of 25/06/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051030/15 of 25/06/2015)
5) Dealing on own account (Notification 0098537/17 of 09/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAN GROUP INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5hb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98000686 of 08/01/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>672</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 98000686 of 08/01/1998)
3) Investment advice (Notification 98000686 of 08/01/1998)
4) Portfolio management (Notification 98000686 of 08/01/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAN INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sugar Quay Lower Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 6du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4031358 of 06/04/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1435</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 4031358 of 06/04/2004)
2) Portfolio management (Notification 4031358 of 06/04/2004)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
MAN SOLUTIONS LIMITED

2 Swan Lane
Ec4r 3ad - Londra
Regno Unito
n. 98000695 of 08/01/1998
671

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065086/18 of 09/03/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 98000695 of 08/01/1998)
4) Investment advice (Notification 98000695 of 08/01/1998)
5) Portfolio management (Notification 98000695 of 08/01/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MANDATUM LIFE INVESTMENT SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bulevardi 56</td>
</tr>
<tr>
<td>City:</td>
<td>Fi 00120 - Helsinki</td>
</tr>
<tr>
<td>Country:</td>
<td>Finlandia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0080699/14 of 10/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4044</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0080699/14 of 10/10/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0080699/14 of 10/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>MANGUSTA RISK LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Royalty House 32 Sackville Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1s 3ea - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 8017111 of 26/02/2008</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2231</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8017111 of 26/02/2008)

2) Investment advice (Notification 8017111 of 26/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MANSFORD CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>140 Brompton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5081750 of 15/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1608</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5081750 of 15/12/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MANTOR (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Knightsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5107</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0606228/19 of 07/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**Date 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MANULIFE INVESTMENT MANAGEMENT (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 St Swithin's Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 8ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021963 of 24/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3118</td>
</tr>
</tbody>
</table>

## Services Provided in Italy

1. Investment advice (Notification 11021963 of 24/03/2011)
2. Execution of orders on behalf of clients (Notification 11021963 of 24/03/2011)
3. Portfolio management (Notification 11021963 of 24/03/2011)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 11021963 of 24/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARCHE' DE TITRES FRANCE SAS (MTS FRANCE)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18, Rue Du Quatre Septembre</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060917/18 of 06/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4784</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0060917/18 of 06/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MARCONI CAPITAL LTD

Registered office: 207 Regent Street

City: W1b 3hh - Londra

Country: Regno Unito

Notification of Registration: n. 0536399/18 of 19/12/2018

Registration no.: 4914

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0536399/18 of 19/12/2018)
2) Investment advice (Notification 0536399/18 of 19/12/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0536399/18 of 19/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARCUARD HERITAGE (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>363, 28th October Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>3107 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11039670 of 05/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3147</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0090415/13 of 19/11/2013)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11039670 of 05/05/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 11039670 of 05/05/2011)
4) Portfolio management (Notification 11039670 of 05/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: MARECHALE CAPITAL PLC

Registered office: 15 St Helen’ S Place

City: Ec3a 6de - Londra

Country: Regno Unito

Notification of Registration: n. 7016477 of 26/02/2007

Registration no.: 1760

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7016477 of 26/02/2007)

2) Investment advice (Notification 7016477 of 26/02/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7016477 of 26/02/2007)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARENGO FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Maiden Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 7lj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195233/19 of 10/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5015</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0195233/19 of 10/04/2019)
2) Portfolio management (Notification 0195233/19 of 10/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MAREX FINANCIAL

Registered office: Level Five 155 Bishopsgate

City: Ec2m 3tq - Londra

Country: Regno Unito

Notification of Registration: n. 6004149 of 20/01/2006

Registration no.: 1613

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0003616/19 of 03/01/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6004149 of 20/01/2006)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 6004149 of 20/01/2006)

4) Investment advice (Notification 6004149 of 20/01/2006)

5) Execution of orders on behalf of clients (Notification 6004149 of 20/01/2006)

6) Portfolio management (Notification 6004149 of 20/01/2006)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 6004149 of 20/01/2006)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAREX SPECTRON EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Earlsfort Terrace. Dublin2</td>
</tr>
<tr>
<td>City:</td>
<td>D02t380 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0152881/19 of 20/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4990</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0152881/19 of 20/03/2019)
2) Execution of orders on behalf of clients (Notification 0152881/19 of 20/03/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0152881/19 of 20/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAREX SPECTRON INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>155 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3tq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7090490 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1915</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0138882/17 of 03/01/2018)
2) Operation of an MTF (Notification 0138882/17 of 03/01/2018)
3) Execution of orders on behalf of clients (Notification 7090490 of 01/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090490 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARIANA UFP LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>100 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10025841 of 23/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2815</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0002201/18 of 09/01/2018)
2) Placing of financial instruments without a firm commitment basis (Notification 0043015/16 of 11/05/2016)
3) Dealing on own account (Notification 0095561/17 of 01/08/2017)
4) Investment advice (Notification 10025841 of 23/03/2010)
5) Execution of orders on behalf of clients (Notification 10025841 of 23/03/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10025841 of 23/03/2010)
7) Portfolio management (Notification 12087975 of 07/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARIGNY CAPITAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Rue Scribre</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105651/16 of 29/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4514</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0105651/16 of 29/11/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105651/16 of 29/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARINER INVESTMENT (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Heathcoat House 20 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002427/14 of 13/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3884</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002427/14 of 13/01/2014)
2) Investment advice (Notification 0002427/14 of 13/01/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002427/14 of 13/01/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARKETAXESS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Aldermanbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v7hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0053735/16 of 09/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4403</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053735/16 of 09/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARKETAXESS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Aldermanbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1058057 of 27/07/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1159</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0090307/15 of 24/11/2015)
2) Investment advice (Notification 1058057 of 27/07/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1058057 of 27/07/2001)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARKETAXESS NL B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 280</td>
</tr>
<tr>
<td>City:</td>
<td>1016bx - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120264/19 of 05/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4967</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 0120264/19 of 05/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARKS BAUGHAN SECURITIES UK, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Devonshire Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 7aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11079646 of 23/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3273</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11079646 of 23/09/2011)
2) Investment advice (Notification 11079646 of 23/09/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11079646 of 23/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Wilder Walk, The Prow (6th Floor)</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0064797/13 of 29/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3777</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0064797/13 of 29/07/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0064797/13 of 29/07/2013)
3) Investment advice (Notification 0064797/13 of 29/07/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0064797/13 of 29/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGULAR OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARLBOROUGH INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Po Box 1852 - Croxall</td>
</tr>
<tr>
<td>City:</td>
<td>Ws13 8xu - Lichfield</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7091229 of 11/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1866</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Execution of orders on behalf of clients (Notification 7091229 of 11/10/2007)
2. Portfolio management (Notification 7091229 of 11/10/2007)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 7091229 of 11/10/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARSH TREASURY SERVICES (DUBLIN) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12/14 Lower Mount Street 2</td>
</tr>
<tr>
<td>City:</td>
<td>Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96035592 of 24/04/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>918</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 96035592 of 24/04/1996)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 96035592 of 24/04/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARTEN &amp; CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>123a Kings Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 4pl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12064675 of 01/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3475</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12064675 of 01/08/2012)
2) Investment advice (Notification 12064675 of 01/08/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12064675 of 01/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MARTIN CURRIE INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Caslte Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>Eh1 2es - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2067523 of 16/10/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1314</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2067523 of 16/10/2002)

2) Services related to underwriting (Notification 2067523 of 16/10/2002)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 2067523 of 16/10/2002)

4) Placing of financial instruments without a firm commitment basis (Notification 2067523 of 16/10/2002)

5) Investment advice (Notification 2067523 of 16/10/2002)

6) Execution of orders on behalf of clients (Notification 2067523 of 16/10/2002)

7) Portfolio management (Notification 2067523 of 16/10/2002)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 2067523 of 16/10/2002)

9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MASECO LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>357 Strand, Burleigh House</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2r 0h - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068143 of 01/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3216</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11068143 of 01/08/2011)
2) Execution of orders on behalf of clients (Notification 11068143 of 01/08/2011)
3) Portfolio management (Notification 11068143 of 01/08/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11068143 of 01/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12035036 of 30/04/2012)
2) Execution of orders on behalf of clients (Notification 12035036 of 30/04/2012)
3) Portfolio management (Notification 12035036 of 30/04/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12035036 of 30/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MATTHEWS GLOBAL INVESTORS (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 14 Masons Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054765/15 of 08/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4207</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0054765/15 of 08/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAVEN EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Bevis Marks</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7ba - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0370589/19 of 26/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5046</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0370589/19 of 26/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAVEN GLOBAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Northumberland Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>WC2N 5BW - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0033355/16 of 14/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4357</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0033355/16 of 14/04/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0033355/16 of 14/04/2016)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0033355/16 of 14/04/2016)
4) Investment advice (Notification 0033355/16 of 14/04/2016)
5) Execution of orders on behalf of clients (Notification 0033355/16 of 14/04/2016)
6) Portfolio management (Notification 0033355/16 of 14/04/2016)
7) Dealing on own account (Notification 0033355/16 of 14/04/2016)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033355/16 of 14/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAXIFLEX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Iakovou Tompazi 1, Vashiotis Business Center</td>
</tr>
<tr>
<td>City:</td>
<td>3107 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096146/15 of 21/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4289</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0067019/16 of 20/07/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0096146/15 of 21/12/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0096146/15 of 21/12/2015)

4) Execution of orders on behalf of clients (Notification 0096146/15 of 21/12/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096146/15 of 21/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAXIGRID LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>214 Arch. Makariou iii, Ideal Building</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11098411 of 13/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3316</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0053136/18 of 27/02/2018)
2) Dealing on own account (Notification 0053136/18 of 27/02/2018)
3) Portfolio management (Notification 0080521/17 of 20/06/2017)
4) 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 (Notification 11098411 of 13/12/2011)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11098411 of 13/12/2011)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 11098411 of 13/12/2011)
7) Execution of orders on behalf of clients (Notification 11098411 of 13/12/2011)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11098411 of 13/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAX.SECUR VORSORGEENTWICKLUNGS &amp; WERTPAPIERDIENSTLEISTUNGS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Altgasse 3</td>
</tr>
<tr>
<td>City:</td>
<td>A 1130 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1032502 of 03/05/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1119</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1032502 of 03/05/2001)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 1032502 of 03/05/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAYA CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Conduit Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2xd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0050555/17 of 19/04/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4598</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0050555/17 of 19/04/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0050555/17 of 19/04/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050555/17 of 19/04/2017)

4) Services related to underwriting (Notification 0050555/17 of 19/04/2017)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0050555/17 of 19/04/2017)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0050555/17 of 19/04/2017)

7) Investment advice (Notification 0050555/17 of 19/04/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050555/17 of 19/04/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>MAYBANK KIM ENG SECURITIES (LONDON) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>P N B House 77 Queen Victoria Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec4v4ay - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0011960/17 of 26/01/2017</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4546</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011960/17 of 26/01/2017)

2) Investment advice (Notification 0011960/17 of 26/01/2017)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011960/17 of 26/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Investment Firms: MAYSTONE CAPITAL LIMITED

**Registered office:**
29 Farm Street 3rd Floor Mayfair

**City:**
W1j5rl - Londra

**Country:**
Regno Unito

**Notification of Registration:**
n. 0011573/17 of 25/01/2017

**Registration no.:**
4547

### SERVICES PROVIDED IN ITALY

1. 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 (Notification 0011573/17 of 25/01/2017)
2. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0011573/17 of 25/01/2017)
3. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011573/17 of 25/01/2017)
4. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0011573/17 of 25/01/2017)
5. Placing of financial instruments without a firm commitment basis (Notification 0011573/17 of 25/01/2017)
6. Investment advice (Notification 0011573/17 of 25/01/2017)
7. Reception and transmission of orders in relation to one or more financial instruments (Notification 0011573/17 of 25/01/2017)
8. Services related to underwriting (Notification 0093842/17 of 27/07/2017)
9. Foreign exchange services where these are connected to the provision of investment services (Notification 0093842/17 of 27/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MAZARS FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bevis Marks House, 24-26 Bevis Marks</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7nr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103444 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2030</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7103444 of 21/11/2007)
2) Investment advice (Notification 7103444 of 21/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103444 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MB CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>122 Leadnhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 4ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10068837 of 04/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2933</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10068837 of 04/08/2010)
2) Investment advice (Notification 10068837 of 04/08/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10068837 of 04/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MCA INTELIFUNDS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>82, Petrou Tsirou, Mesa Geitonia,</td>
</tr>
<tr>
<td>City:</td>
<td>3076 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11098415 of 13/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3318</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0224135/19 of 24/04/2019)
2) Dealing on own account (Notification 0224135/19 of 24/04/2019)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11098415 of 13/12/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11098415 of 13/12/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11098415 of 13/12/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MCAP GLOBAL FINANCE (UK) LLP

Registered office: Gordon House 10 Greencoat Place

City: Sw191ph - Londra

Country: Regno Unito

Notification of Registration: n. 0007699/18 of 18/01/2018

Registration no.: 4761

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0007699/18 of 18/01/2018)
2) Investment advice (Notification 0007699/18 of 18/01/2018)
3) Execution of orders on behalf of clients (Notification 0007699/18 of 18/01/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0007699/18 of 18/01/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MCINROY &amp; WOOD LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>46 Court Street, East Lothian</td>
</tr>
<tr>
<td>City:</td>
<td>Eh41 3np - Haddington</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>388</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>MCS MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>7 Paynes Park</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sg5 1eh - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0093491/15 of 09/12/2015</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4275</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0093491/15 of 09/12/2015)
2) Execution of orders on behalf of clients (Notification 0093491/15 of 09/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093491/15 of 09/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MEDICI ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Inverleith Row</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 5px - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10058196 of 28/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2893</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 10058196 of 28/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MEDINA ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55, Beach Level 2 Dawret</td>
</tr>
<tr>
<td>City:</td>
<td>Xjr 1201 - Sciaira</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070728/16 of 29/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4437</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0070728/16 of 29/07/2016)
2) Investment advice (Notification 0070728/16 of 29/07/2016)
3) Execution of orders on behalf of clients (Notification 0070728/16 of 29/07/2016)
4) Portfolio management (Notification 0070728/16 of 29/07/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070728/16 of 29/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MEDVESEK PUSNIK BORZNO POSREDNISKA HIS A D.D. LJUBLJANA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gradnikove Brigade 11</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Lubiana</td>
</tr>
<tr>
<td>Country:</td>
<td>Slovenia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4093984 of 28/10/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1482</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4093984 of 28/10/2004)
2) Services related to underwriting (Notification 4093984 of 28/10/2004)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 4093984 of 28/10/2004)
4) Placing of financial instruments without a firm commitment basis (Notification 4093984 of 28/10/2004)
5) Investment advice (Notification 4093984 of 28/10/2004)
6) Execution of orders on behalf of clients (Notification 4093984 of 28/10/2004)
7) Portfolio management (Notification 4093984 of 28/10/2004)
8) Dealing on own account (Notification 4093984 of 28/10/2004)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 4093984 of 28/10/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
MEGA EQUITY SECURITIES AND FINANCIAL SERVICES PUBLIC LTD

42-44 Griva Digenis Avenue

1080 - Nicosia

Cipro

n. 0034206/14 of 24/04/2014

3951

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0034206/14 of 24/04/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0034206/14 of 24/04/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0034206/14 of 24/04/2014)

4) Investment advice (Notification 0034206/14 of 24/04/2014)

5) Execution of orders on behalf of clients (Notification 0034206/14 of 24/04/2014)

6) Dealing on own account (Notification 0034206/14 of 24/04/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0034206/14 of 24/04/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MELTEMİ INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 64, 55 Ebury Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0pb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13001033 of 07/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3595</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 13001033 of 07/01/2013)
2) Portfolio management (Notification 13001033 of 07/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13001033 of 07/01/2013)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERCER ALTERNATIVES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6028328 of 30/03/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1633</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6028328 of 30/03/2006)
2) Execution of orders on behalf of clients (Notification 6028328 of 30/03/2006)
3) Portfolio management (Notification 6028328 of 30/03/2006)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6028328 of 30/03/2006)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Register of EU Investment Firms: Without Branches
(Date 10/01/2020)

**Investment Firm:** MERCER GLOBAL INVESTMENTS EUROPE LIMITED

**Registered Office:** Charlotte House Charlemont Street

**City:** Dublin 2 - Dublino

**Country:** Irlanda

**Notification of Registration:** n. 0085840/15 of 05/11/2015

**Registration no.:** 4260

**Services Provided in Italy**

1) Investment advice (Notification 0085840/15 of 05/11/2015)
2) Portfolio management (Notification 0085840/15 of 05/11/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085840/15 of 05/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERCER LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Tothill Street, Telford House</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 9hb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>892</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Portfolio management (Notification 7103183 of 21/11/2007)
3) Investment advice (Notification 96056590 of 01/07/1996)
4) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERCURIA EUROPE TRADING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 New Bond Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1dg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088531/14 of 11/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4060</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088531/14 of 11/11/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERCURY CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Knightsbridge Green</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1 7qa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10098902 of 02/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3035</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10098902 of 02/12/2010)
2) Investment advice (Notification 10098902 of 02/12/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10098902 of 02/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERIAN GLOBAL INVESTORS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Lambeth Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4p 4wr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10010629 of 08/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2770</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0080273/16 of 09/09/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10010629 of 08/02/2010)
3) Investment advice (Notification 10010629 of 08/02/2010)
4) Execution of orders on behalf of clients (Notification 10010629 of 08/02/2010)
5) Portfolio management (Notification 10010629 of 08/02/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10010629 of 08/02/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERIT ALTERNATIVE INVESTMENTS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schottenring 17/1</td>
</tr>
<tr>
<td>City:</td>
<td>A-1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4066691 of 14/07/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1466</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4066691 of 14/07/2004)
2) Portfolio management (Notification 4066691 of 14/07/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4066691 of 14/07/2004)

Please make reference to the Supervisory home Authority [website](link) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** MERITKAPITAL LTD

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Arch. Makarios iii Avenue</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>3105 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10019867 of 09/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2808</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 0064949/15 of 07/08/2015)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0064949/15 of 07/08/2015)
3) Placing of financial instruments without a firm commitment basis (Notification 0064949/15 of 07/08/2015)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086711/14 of 04/11/2014)
5) Dealing on own account (Notification 0086711/14 of 04/11/2014)
6) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10019867 of 09/03/2010)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 10019867 of 09/03/2010)
8) Investment advice (Notification 10019867 of 09/03/2010)
9) Portfolio management (Notification 10019867 of 09/03/2010)
10) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10038975 of 30/04/2010)
11) Execution of orders on behalf of clients (Notification 10038975 of 30/04/2010)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 10038975 of 30/04/2010)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERITKAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Fore Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5ej - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074657/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4446</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0074657/16 of 11/08/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074657/16 of 11/08/2016)
3) Dealing on own account (Notification 0097711/17 of 07/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERLIN FINANCIAL CONSULTANTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Northumberland House 303 -306 High Holborn</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1v 7jz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7096776 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1933</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096776 of 01/11/2007)
2) Investment advice (Notification 7096776 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096776 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERLIN PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10012365 of 15/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2781</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10012365 of 15/02/2010)
2) Execution of orders on behalf of clients (Notification 10012365 of 15/02/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10012365 of 15/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERRIL LYNCH, PIERCE, FENNER &amp; SMITH SAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>112, Avenue Kleber</td>
</tr>
<tr>
<td>City:</td>
<td>75761 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11100670 of 21/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3322</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 11100670 of 21/12/2011)
2) Investment advice (Notification 11100670 of 21/12/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11100670 of 21/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERRILL LYNCH INTERNATIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 King Edward Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>209</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 39203 of 23/05/2000)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7095617 of 01/11/2007)

3) Portfolio management (Notification 7095617 of 01/11/2007)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

5) 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 (Notification 96000620 of 03/01/1996)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)

7) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

8) Investment advice (Notification 96000620 of 03/01/1996)

9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

10) Dealing on own account (Notification 96000620 of 03/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
12) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98079464 of 09/10/1998)
13) Services related to underwriting (Notification 98079464 of 09/10/1998)
14) Foreign exchange services where these are connected to the provision of investment services (Notification 98079464 of 09/10/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MERRION STOCKBROKERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 St Stephen'S Green</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195055/18 of 08/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4840</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0195055/18 of 08/06/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0195055/18 of 08/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MESIROW FINANCIAL INTERNATIONAL UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j Odr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8021874 of 11/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2248</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0379076/18 of 01/10/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8021874 of 11/03/2008)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 8021874 of 11/03/2008)
4) Investment advice (Notification 8021874 of 11/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MESSELS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Unit 2 Clock Barn Farm, Hambledon Road, Busbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Gu8 4ay - Surrey</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069515/13 of 16/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3770</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069515/13 of 16/08/2013)

2) Investment advice (Notification 0069515/13 of 16/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10096901 of 24/11/2010)
2) Investment advice (Notification 10096901 of 24/11/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10096901 of 24/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MET FACILITIES LLP

Registered office: 40-44 Newman Street

City: W1t1qd - Londra

Country: Regno Unito

Notification of Registration: n. 13007087 of 28/01/2013

Registration no.: 3612

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0099815/17 of 16/08/2017)

2) Placing of financial instruments without a firm commitment basis (Notification 0099815/17 of 16/08/2017)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13007087 of 28/01/2013)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13007087 of 28/01/2013)

5) Investment advice (Notification 13007087 of 28/01/2013)

6) Execution of orders on behalf of clients (Notification 13007087 of 28/01/2013)

7) Portfolio management (Notification 13007087 of 28/01/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13007087 of 28/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MET ZURICH LLP

Registered office: 1 Tudor Street,

City: Ec4y 0ah - Londra

Country: Regno Unito

Notification of Registration: n. 0114057/16 of 28/12/2016

Registration no.: 4532

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0097704/17 of 07/08/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0114057/16 of 28/12/2016)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0114057/16 of 28/12/2016)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0114057/16 of 28/12/2016)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 0114057/16 of 28/12/2016)
6) Investment advice (Notification 0114057/16 of 28/12/2016)
7) Execution of orders on behalf of clients (Notification 0114057/16 of 28/12/2016)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0114057/16 of 28/12/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: METEOR ASSET MANAGEMENT LIMITED

Registered office: 55 King William Street

City: Ec4r 9ad - Londra

Country: Regno Unito

Notification of Registration: n. 9086307 of 06/10/2009

Registration no.: 2689

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9086307 of 06/10/2009)

2) Execution of orders on behalf of clients (Notification 9086307 of 06/10/2009)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9086307 of 06/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>METHOD INVESTMENTS &amp; ADVISORY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 New Bond Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2rx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9041236 of 05/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2581</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9041236 of 05/05/2009)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9041236 of 05/05/2009)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 9041236 of 05/05/2009)
4) Placing of financial instruments without a firm commitment basis (Notification 9041236 of 05/05/2009)
5) Investment advice (Notification 9041236 of 05/05/2009)
6) Execution of orders on behalf of clients (Notification 9041236 of 05/05/2009)
7) Portfolio management (Notification 9041236 of 05/05/2009)
8) Dealing on own account (Notification 9041236 of 05/05/2009)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 9041236 of 05/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>METHORIOS CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43-45 Dorset Street,</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 7na - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0009138/16 of 02/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4313</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0009138/16 of 02/02/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0009138/16 of 02/02/2016)
3) Placing of financial instruments without a firm commitment basis (Notification 0009138/16 of 02/02/2016)
4) Investment advice (Notification 0009138/16 of 02/02/2016)
5) Execution of orders on behalf of clients (Notification 0009138/16 of 02/02/2016)
6) Portfolio management (Notification 0009138/16 of 02/02/2016)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0009138/16 of 02/02/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>METLIFE INVESTMENT MANAGEMENT LIMITED (MIML)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E145aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022773/15 of 30/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4141</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0001123/16 of 08/01/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0001123/16 of 08/01/2016)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0022773/15 of 30/03/2015)
4) Investment advice (Notification 0022773/15 of 30/03/2015)
5) Portfolio management (Notification 0022773/15 of 30/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>METZLER ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Grosse Gallusstrasse 18</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 007026/13 of 28/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3790</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 007026/13 of 28/08/2013)  
2) Execution of orders on behalf of clients (Notification 007026/13 of 28/08/2013)  
3) Portfolio management (Notification 007026/13 of 28/08/2013)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 007026/13 of 28/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>METZLER NEDERLAND B.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strawinskylar G61</td>
</tr>
<tr>
<td>City:</td>
<td>1077 Xx - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99066576 of 10/09/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>832</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99066576 of 10/09/1999)  
2) Execution of orders on behalf of clients (Notification 99066576 of 10/09/1999)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99066576 of 10/09/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MEXEM LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Archiepiskopou Kyprianou Loucaides Building</td>
</tr>
<tr>
<td>City:</td>
<td>3036 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101604/17 of 24/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4659</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101604/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MF GLOBAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Churchill Place</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5hu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>108</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11072713 of 22/08/2011)
2) Services related to underwriting (Notification 11072713 of 22/08/2011)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11072713 of 22/08/2011)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11072713 of 22/08/2011)
5) Placing of financial instruments without a firm commitment basis (Notification 11072713 of 22/08/2011)
6) 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 (Notification 96000620 of 03/01/1996)
7) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
8) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
11) Portfolio management (Notification 96059817 of 15/07/1996)
12) Dealing on own account (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MFC MIKULIK FINANCE CONSULTING GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Museumstrabe 4</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0067024/16 of 20/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4431</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0067024/16 of 20/07/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0067024/16 of 20/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MF-CAPITAL GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bulowstrasse 27</td>
</tr>
<tr>
<td>City:</td>
<td>D81679 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0757235/19 of 27/11/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5133</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0757235/19 of 27/11/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0757235/19 of 27/11/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MFEX MUTUAL FUNDS EXCHANGE AB

Registered office: Grev Turegatan 19

City: Se10249 - Stoccolma

Country: Svezia

Notification of Registration: n. 0044928/15 of 03/06/2015

Registration no.: 4179

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0044928/15 of 03/06/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0044928/15 of 03/06/2015)

3) Execution of orders on behalf of clients (Notification 0044928/15 of 03/06/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0044928/15 of 03/06/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MFM FUND SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Territorials Street</td>
</tr>
<tr>
<td>City:</td>
<td>Bkr 3000 - Mriehel</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0142021/18 of 08/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4821</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0142021/18 of 08/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MFS INTERNATIONAL (UK) LIMITED

Registered office: 1 Carter Lane

City: Ec4v 5er - Londra

Country: Regno Unito

Notification of Registration: n. 96085202 of 31/10/1996

Registration no.: 577

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6053373 of 19/06/2006)
2) Execution of orders on behalf of clients (Notification 6053373 of 19/06/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6053373 of 19/06/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8049537 of 23/05/2008)
5) Portfolio management (Notification 96085202 of 31/10/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>M&amp;G INTERNATIONAL INVESTMENTS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Boulevard Royal</td>
</tr>
<tr>
<td>City:</td>
<td>L2449 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0222589/18 of 26/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4860</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0222589/18 of 26/06/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0222589/18 of 26/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 3047014 of 15/07/2003)
2) Portfolio management (Notification 3047014 of 15/07/2003)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3047014 of 15/07/2003)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MGI B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>J. Van Woensel Kooylaan 6</td>
</tr>
<tr>
<td>City:</td>
<td>1411 - Naarden</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0001770/15 of 12/01/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4080</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0001770/15 of 12/01/2015)
2) Investment advice (Notification 0001770/15 of 12/01/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>M.G.T.M. FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Arch. Makarious III Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>4000 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0111710/17 of 29/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4689</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0111710/17 of 29/09/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0111710/17 of 29/09/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0111710/17 of 29/09/2017)

4) Services related to underwriting (Notification 0111710/17 of 29/09/2017)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0111710/17 of 29/09/2017)

6) Investment advice (Notification 0111710/17 of 29/09/2017)

7) Execution of orders on behalf of clients (Notification 0111710/17 of 29/09/2017)

8) Dealing on own account (Notification 0111710/17 of 29/09/2017)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0111710/17 of 29/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MGW GESELLSCHAFT FUR GELD-UND WERTPAPIERVERMITTLUNG MBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Raiffeisenallee 16</td>
</tr>
<tr>
<td>City:</td>
<td>82041 - Oberhaching</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071687/14 of 03/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4114</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071687/14 of 03/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) 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 (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>3) Foreign exchange services where these are connected to the provision of investment services (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>4) Investment advice (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>5) Execution of orders on behalf of clients (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>6) Portfolio management (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>7) Dealing on own account (Notification 99072038 of 05/10/1999)</td>
</tr>
<tr>
<td>8) Reception and transmission of orders in relation to one or more financial instruments (Notification 99072038 of 05/10/1999)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MIDAS WEALTH MANAGEMENT S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26a Boulevard Royal</td>
</tr>
<tr>
<td>City:</td>
<td>L2449 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038088/16 of 28/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4372</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0038088/16 of 28/04/2016)
2) Execution of orders on behalf of clients (Notification 0038088/16 of 28/04/2016)
3) Portfolio management (Notification 0038088/16 of 28/04/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0038088/16 of 28/04/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **MIDDLEFIELD INTERNATIONAL LTD**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>199 Bishopsgate</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2m 3ty - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>212</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7098302 of 30/10/2007)
2) Execution of orders on behalf of clients (Notification 7098302 of 30/10/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MIDMAR CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 - 18 Hill Street</td>
</tr>
<tr>
<td>City:</td>
<td>Eh23jz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084107/14 of 24/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4053</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0084107/14 of 24/10/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084107/14 of 24/10/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0084107/14 of 24/10/2014)
4) Investment advice (Notification 0084107/14 of 24/10/2014)
5) Execution of orders on behalf of clients (Notification 0084107/14 of 24/10/2014)
6) Portfolio management (Notification 0084107/14 of 24/10/2014)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084107/14 of 24/10/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLBURN INTERNATIONAL (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>83 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 6ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12081279 of 12/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3532</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12081279 of 12/10/2012)
2) Investment advice (Notification 12081279 of 12/10/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12081279 of 12/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLENNIUM CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092644/17 of 25/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4641</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0092644/17 of 25/07/2017)
2) Investment advice (Notification 0092644/17 of 25/07/2017)
3) Execution of orders on behalf of clients (Notification 0092644/17 of 25/07/2017)
4) Portfolio management (Notification 0092644/17 of 25/07/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092644/17 of 25/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLENNIUM EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0008207/15 of 03/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4091</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Execution of orders on behalf of clients (Notification 0008207/15 of 03/02/2015)
2. Dealing on own account (Notification 0008207/15 of 03/02/2015)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0008207/15 of 03/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLER CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flat 4, 73 South End Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 2rj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1039061 of 18/05/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1125</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1039061 of 18/05/2001)

2) Investment advice (Notification 1039061 of 18/05/2001)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1039061 of 18/05/2001)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLIMAN FINANCIAL STRATEGIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12009040 of 07/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3344</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0057871/14 of 09/07/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0057871/14 of 09/07/2014)
3) Portfolio management (Notification 0057871/14 of 09/07/2014)
4) Investment advice (Notification 12009040 of 07/02/2012)
5) Execution of orders on behalf of clients (Notification 12009040 of 07/02/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009040 of 07/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLINGTON ADVISORY PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Ainger Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 3ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5077004 of 21/11/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1594</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5077004 of 21/11/2005)
2) Services related to underwriting (Notification 5077004 of 21/11/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5077004 of 21/11/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MILLTRUST INTERNATIONAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hudson House 8 Tavistock Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 7pp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10002189 of 13/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2752</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10002189 of 13/01/2010)
2) Investment advice (Notification 10002189 of 13/01/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MINT FINANCIAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107-111 Fleet Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4a 2ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10096306 of 23/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3020</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10096306 of 23/11/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10096306 of 23/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MIO PARTNERS (EU) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Kensington Church Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 4ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8033403 of 10/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2276</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8033403 of 10/04/2008)
2) Investment advice (Notification 8033403 of 10/04/2008)
3) Portfolio management (Notification 8033403 of 10/04/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8033403 of 10/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MIRABAUD ASSET MANAGEMENT LIMITED

Registered office: 33 Grosvenor Place

City: Sw1x 7hy - Londra

Country: Regno Unito

Notification of Registration: n. 7049137 of 30/05/2007

Registration no.: 1797

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7049137 of 30/05/2007)
2) Execution of orders on behalf of clients (Notification 7049137 of 30/05/2007)
3) Portfolio management (Notification 7049137 of 30/05/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7049137 of 30/05/2007)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MIRABAUD SECURITIES LIMITED

Registered office: 10 Bressenden Place

City: Sw1e 5dh - Londra

Country: Regno Unito

Notification of Registration: n. 0031214/17 of 09/03/2017

Registration no.: 4579

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0031214/17 of 09/03/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0031214/17 of 09/03/2017)

3) Placing of financial instruments without a firm commitment basis (Notification 0031214/17 of 09/03/2017)

4) Investment advice (Notification 0031214/17 of 09/03/2017)

5) Execution of orders on behalf of clients (Notification 0031214/17 of 09/03/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031214/17 of 09/03/2017)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MIRABELLA ADVISERS LLP

Registered office: 130 Jermyn Street

City: Sw1y 4ur - Londra

Country: Regno Unito

Notification of Registration: n. 0068349/14 of 13/08/2014

Registration no.: 4013

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0068349/14 of 13/08/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068349/14 of 13/08/2014)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0328621/19 of 07/06/2019)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0328621/19 of 07/06/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MIRABELLA MALTA ADVISERS LIMITED

Registered office: 12 Tigne Place Tigne Street Suite 1/3

City: Slm3173 - Sliema

Country: Malta

Notification of Registration: n. 0737123/19 of 21/11/2019

Registration no.: 5132

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0737123/19 of 21/11/2019)
2) Investment advice (Notification 0737123/19 of 21/11/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0737123/19 of 21/11/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: MIRAE ASSET GLOBAL INVESTMENTS (UK) LIMITED

Registered office: 4-6 Royal Exchange Buildings

City: Ec3v 3nl - Londra

Country: Regno Unito

Notification of Registration: n. 8060039 of 24/06/2008

Registration no.: 2335

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8060039 of 24/06/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8060039 of 24/06/2008)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8060039 of 24/06/2008)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 8060039 of 24/06/2008)

5) Investment advice (Notification 8060039 of 24/06/2008)

6) Portfolio management (Notification 8060039 of 24/06/2008)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8060039 of 24/06/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
MIRAE ASSET SECURITIES (UK) LTD

Registered office: 4th Floor, Tower 42, 25 Old Broad Street

City: Ec2n 1hq - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 91

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
3) Services related to underwriting (Notification 96000620 of 03/01/1996)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
5) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
6) Investment advice (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
8) Dealing on own account (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MITHERIDGE CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Grosvenor Place,</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0100464/16 of 10/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4502</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0100464/16 of 10/11/2016)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0100464/16 of 10/11/2016)

3) Investment advice (Notification 0100464/16 of 10/11/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0100464/16 of 10/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MITSUBISHI UFJ ASSET MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Finsbury Circus House 12-15 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7bt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7064389 of 11/07/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1814</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 7064389 of 11/07/2007)
2) Investment advice (Notification 7064389 of 11/07/2007)
3) Execution of orders on behalf of clients (Notification 7064389 of 11/07/2007)
4) Portfolio management (Notification 7064389 of 11/07/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7064389 of 11/07/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MITSUBISHI UFJ TRUST INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>214</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 6033829 of 18/04/2006)
2. Execution of orders on behalf of clients (Notification 6033829 of 18/04/2006)
3. Services related to underwriting (Notification 96000620 of 03/01/1996)
4. Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
5. Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
6. Dealing on own account (Notification 96000620 of 03/01/1996)
7. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MITSUI BUSSAN COMMODITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 St Martins Le Grand</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a4bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8032924 of 09/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2274</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 8032924 of 09/04/2008)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8032924 of 09/04/2008)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8032924 of 09/04/2008)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 8032924 of 09/04/2008)

5) Investment advice (Notification 8032924 of 09/04/2008)

6) Execution of orders on behalf of clients (Notification 8032924 of 09/04/2008)

7) Dealing on own account (Notification 8032924 of 09/04/2008)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 8032924 of 09/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MIZUHO SECURITIES EUROPE GMBH

Registered office: Taunustor 1

City: 60310 - Francoforte

Country: Germania

Notification of Registration: n. 0150074/19 of 19/03/2019

Registration no.: 4976

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0150074/19 of 19/03/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0150074/19 of 19/03/2019)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0150074/19 of 19/03/2019)

4) Services related to underwriting (Notification 0150074/19 of 19/03/2019)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0150074/19 of 19/03/2019)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0150074/19 of 19/03/2019)

7) Placing of financial instruments without a firm commitment basis (Notification 0150074/19 of 19/03/2019)

8) Investment advice (Notification 0150074/19 of 19/03/2019)

9) Execution of orders on behalf of clients (Notification 0150074/19 of 19/03/2019)

10) Dealing on own account (Notification 0150074/19 of 19/03/2019)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0150074/19 of 19/03/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MJ HUDSON ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Old Jevry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0050036/16 of 30/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4391</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0050036/16 of 30/05/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050036/16 of 30/05/2016)
3) Placing of financial instruments without a firm commitment basis (Notification 0502480/18 of 04/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ML CAPITAL ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 St Stephens Green</td>
</tr>
<tr>
<td>City:</td>
<td>D02ar55 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079308/14 of 07/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4043</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0079308/14 of 07/10/2014)
2) Portfolio management (Notification 0079308/14 of 07/10/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0079308/14 of 07/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ML CAPITAL ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bisazza Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sliema</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12000577 of 03/01/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3327</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12000577 of 03/01/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>M&amp;M CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Earls Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>W8 6lp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 75453/13 of 19/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3816</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 75453/13 of 19/09/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 75453/13 of 19/09/2013)
3) Investment advice (Notification 75453/13 of 19/09/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 75453/13 of 19/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MM WEALTH LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Chivers Way</td>
</tr>
<tr>
<td>City:</td>
<td>Cb24 9nl - Cambridge</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12012004 of 20/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3360</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12012004 of 20/02/2012)
2) Execution of orders on behalf of clients (Notification 12012004 of 20/02/2012)
3) Portfolio management (Notification 12012004 of 20/02/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12012004 of 20/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MMC SECURITIES (EUROPE) LIMITED

Registered office: Tower Place

City: Ec3r 5bu - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 286

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0075818/14 of 24/09/2014)

2) Operation of an MTF (Notification 0075818/14 of 24/09/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

4) Execution of orders on behalf of clients (Notification 9003761 of 15/01/2009)

5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

7) Investment advice (Notification 96059817 of 15/07/1996)

8) Services related to underwriting (Notification 99069469 of 23/09/1999)

9) Foreign exchange services where these are connected to the provision of investment services (Notification 99069469 of 23/09/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
MOE SECURITIES ASA

P.O. Box 750 Sentrum

N-0106 - Oslo

Norvegia

n. 1048078 of 15/06/2001

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1048078 of 15/06/2001)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1048078 of 15/06/2001)

3) Services related to underwriting (Notification 1048078 of 15/06/2001)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 1048078 of 15/06/2001)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1048078 of 15/06/2001)

6) Placing of financial instruments without a firm commitment basis (Notification 1048078 of 15/06/2001)

7) Investment advice (Notification 1048078 of 15/06/2001)

8) Execution of orders on behalf of clients (Notification 1048078 of 15/06/2001)

9) Dealing on own account (Notification 1048078 of 15/06/2001)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 1048078 of 15/06/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOELIS &amp; COMPANY UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-10 St Paul'S Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 8al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10091608 of 04/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3014</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10091608 of 04/11/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10091608 of 04/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MOLINEAUX INVESTMENT SERVICES LLP

Registered office: 4 Upper Grange Road Beccles

City: Nr34 9nu - Suffolk

Country: Regno Unito

Notification of Registration: n. 8067321 of 17/07/2008

Registration no.: 2358

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8067321 of 17/07/2008)
2) Investment advice (Notification 8067321 of 17/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8067321 of 17/07/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOMENTUM GLOBAL INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>62 Queen Street, The Rex Building</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 1eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6076302 of 25/09/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1703</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6076302 of 25/09/2006)
2) Investment advice (Notification 6076302 of 25/09/2006)
3) Execution of orders on behalf of clients (Notification 6076302 of 25/09/2006)
4) Portfolio management (Notification 6076302 of 25/09/2006)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6076302 of 25/09/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONARCH ALTERNATIVE CAPITAL (EUROPE) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52-53 Conduit Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2yx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13051606 of 11/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3726</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13051606 of 11/06/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13051606 of 11/06/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13051606 of 11/06/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 13051606 of 11/06/2013)

5) Investment advice (Notification 13051606 of 11/06/2013)

6) Execution of orders on behalf of clients (Notification 13051606 of 11/06/2013)

7) Portfolio management (Notification 13051606 of 11/06/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13051606 of 11/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONDRIAN INVESTMENT PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Third Floor, 80 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6ee - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0136126/17 of 14/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4728</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0136126/17 of 14/12/2017)
2) Investment advice (Notification 0136126/17 of 14/12/2017)
3) Portfolio management (Notification 0136126/17 of 14/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONECOR (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Pontou Str. 3rd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Cy-1107 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0188356/18 of 05/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4837</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0188356/18 of 05/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MONECOR (LONDON) LTD

Registered office: One Broadgate

City: Ec2m 2qs - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 217

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10062417 of 14/07/2010)
2) Execution of orders on behalf of clients (Notification 10062417 of 14/07/2010)
3) Dealing on own account (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONEX EUROPE MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Bartholomew Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0061082/16 of 01/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4422</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0061082/16 of 01/07/2016)
2) Investment advice (Notification 0061082/16 of 01/07/2016)
3) Execution of orders on behalf of clients (Notification 0061082/16 of 01/07/2016)
4) Dealing on own account (Notification 0061082/16 of 01/07/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061082/16 of 01/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MONEYCORP FINANCIAL RISK MANAGEMENT LIMITED

Registered office: Zig Zag Building 70 Victoria Street

City: Sw1e 6sq - Londra

Country: Regno Unito

Notification of Registration: n. 6080005 of 09/10/2006

Registration no.: 1715

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0097705/17 of 07/08/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 6080005 of 09/10/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6080005 of 09/10/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8106326 of 21/11/2008)
5) Services related to underwriting (Notification 8106326 of 21/11/2008)
6) Investment advice (Notification 8106326 of 21/11/2008)
7) Execution of orders on behalf of clients (Notification 8106326 of 21/11/2008)
8) Portfolio management (Notification 8106326 of 21/11/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONSAS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>26 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4qw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029016/17 of 03/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4571</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0029016/17 of 03/03/2017)
2) Execution of orders on behalf of clients (Notification 0029016/17 of 03/03/2017)
3) Portfolio management (Notification 0029016/17 of 03/03/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029016/17 of 03/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MONTFORT INTERNATIONAL LIMITED

Registered office: Shere Road, Albury
City: Gu 59bl - Guildford
Country: Regno Unito

Notification of Registration: n. 0059163/14 of 15/07/2014
Registration no.: 3995

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059163/14 of 15/07/2014)
2) Investment advice (Notification 0059163/14 of 15/07/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059163/14 of 15/07/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONTLAKE FUNDS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Farm Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5rl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11093496 of 21/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3301</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11093496 of 21/11/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11093496 of 21/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MONUMENT GROUP EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12089016 of 12/11/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3558</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12089016 of 12/11/2012)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12089016 of 12/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOOR PARK CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Seymour Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 7jt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11021220 of 23/03/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3114</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11021220 of 23/03/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11021220 of 23/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
MOORELAND PARTNERS LLP

2nd Floor, 2 4 King Street
Sw1y 6ql - Londra
Regno Unito
n. 5082607 of 20/12/2005
1609

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5082607 of 20/12/2005)
2) Investment advice (Notification 5082607 of 20/12/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5082607 of 20/12/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*DATE 10/01/2020*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOORGATE CAPITAL GROUP LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10060999 of 08/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2905</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10060999 of 08/07/2010)
2) Investment advice (Notification 10060999 of 08/07/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10060999 of 08/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MORFITT &amp; TURNBULL (MANAGEMENT SERVICES) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor International House 82-86 Deangate</td>
</tr>
<tr>
<td>City:</td>
<td>M3 2er - Manchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7101423 of 14/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2061</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7101423 of 14/11/2007)
2) Investment advice (Notification 7101423 of 14/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7101423 of 14/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MORGAN CAPITAL ADVISORS LLP

Registered office: 12-13 Henrietta Street

City: WC2E 8LH - Londra

Country: Regno Unito

Notification of Registration: n. 7067379 of 20/07/2007

Registration no.: 1820

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7067379 of 20/07/2007)
2) Execution of orders on behalf of clients (Notification 7067379 of 20/07/2007)
3) Dealing on own account (Notification 7067379 of 20/07/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7067379 of 20/07/2007)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MORGAN STANLEY & CO. INTERNATIONAL PLC

Registered office: 25 Cabot Square, Canary Wharf

City: E144qa - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 218

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 14629 of 06/07/2004)
2) Execution of orders on behalf of clients (Notification 14629 of 06/07/2004)
3) Reception and transmission of orders (Notification 14629 of 06/07/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7098703 of 06/11/2007)
6) Services related to underwriting (Notification 96000620 of 03/01/1996)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
9) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
10) Investment advice (Notification 96000620 of 03/01/1996)
11) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
12) Dealing on own account (Notification 96000620 of 03/01/1996)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
14) 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 (Notification 96059817 of 15/07/1996)
15) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

16) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)

17) Portfolio management (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MORGAN STANLEY EUROPE SE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Grosse Gallusstrasse 18</td>
</tr>
<tr>
<td>City:</td>
<td>60312 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0448078/18 of 06/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4891</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0448078/18 of 06/11/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0448078/18 of 06/11/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0448078/18 of 06/11/2018)

4) Services related to underwriting (Notification 0448078/18 of 06/11/2018)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0448078/18 of 06/11/2018)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0448078/18 of 06/11/2018)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0448078/18 of 06/11/2018)

8) Placing of financial instruments without a firm commitment basis (Notification 0448078/18 of 06/11/2018)

9) Investment advice (Notification 0448078/18 of 06/11/2018)

10) Execution of orders on behalf of clients (Notification 0448078/18 of 06/11/2018)

11) Dealing on own account (Notification 0448078/18 of 06/11/2018)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0448078/18 of 06/11/2018)
Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018705/18 of 31/01/2018)
2) Operation of an MTF (Notification 0032445/19 of 21/01/2019)
3) Placing of financial instruments without a firm commitment basis (Notification 0064871/17 of 10/05/2017)
4) Investment advice (Notification 0064871/17 of 10/05/2017)
5) Execution of orders on behalf of clients (Notification 0064871/17 of 10/05/2017)
6) Dealing on own account (Notification 0064871/17 of 10/05/2017)
7) 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 (Notification 0406609/18 of 12/10/2018)
8) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0406609/18 of 12/10/2018)
9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0406609/18 of 12/10/2018)
10) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0406609/18 of 12/10/2018)
11) Foreign exchange services where these are connected to the provision of investment services (Notification 0406609/18 of 12/10/2018)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MORGAN STANLEY INVESTMENT MANAGEMENT (IRELAND) LIMITED

Registered office: 7-11 Sir John Rogerson’s Quay Dublin 2

City: D02vc42 - Dublino

Country: Irlanda

Notification of Registration: n. 0448013/18 of 06/11/2018

Registration no.: 4890

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0448013/18 of 06/11/2018)

2) Placing of financial instruments without a firm commitment basis (Notification 0448013/18 of 06/11/2018)

3) Investment advice (Notification 0448013/18 of 06/11/2018)

4) Portfolio management (Notification 0448013/18 of 06/11/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0448013/18 of 06/11/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MORGAN STANLEY INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Cabot Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14qw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>370</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0127035/17 of 15/11/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Portfolio management (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MORNINGSTAR INVESTMENT MANAGEMENT EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Oliver’S Yard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1y 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7000740 of 04/01/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1746</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7000740 of 04/01/2007)
2) Portfolio management (Notification 7000740 of 04/01/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MORTON-WILSON ASSOCIATES LIMITED

Registered office: Spinney Grange, Barton Road Carlton,

City: Cv13 0rl - Nuneaton

Country: Regno Unito

Notification of Registration: n. 8000467 of 03/01/2008

Registration no.: 2140

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8000467 of 03/01/2008)

2) Investment advice (Notification 8000467 of 03/01/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8000467 of 03/01/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOSAIC FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>58 Avenue Marceau</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 120022615 of 16/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2809</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 120022615 of 16/03/2010)
2) Dealing on own account (Notification 120022615 of 16/03/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 120022615 of 16/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOUNT ABU CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Hanover Street Third Floor Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1yh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084885/17 of 03/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4630</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0084885/17 of 03/07/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0084885/17 of 03/07/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084885/17 of 03/07/2017)

4) Services related to underwriting (Notification 0084885/17 of 03/07/2017)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0084885/17 of 03/07/2017)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0084885/17 of 03/07/2017)

7) Investment advice (Notification 0084885/17 of 03/07/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084885/17 of 03/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MOUNT NICO CORP LTD

Registered office: 1, Alexandrou Panagoulli,

City: 6057 - Larnaca

Country: Cipro

Notification of Registration: n. 0011088/15 of 16/02/2015

Registration no.: 4101

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0011088/15 of 16/02/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0011088/15 of 16/02/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0011088/15 of 16/02/2015)

4) Execution of orders on behalf of clients (Notification 0011088/15 of 16/02/2015)

5) Portfolio management (Notification 0015132/17 of 01/02/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOUNT STERLING WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Bramleys Barn, Skipwith Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Yo19 63t - York</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10095463 of 18/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3016</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10095463 of 18/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MOVENTUM S.C.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Rue Eugène Ruppert</td>
</tr>
<tr>
<td>City:</td>
<td>L-2453 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13017363 of 01/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3645</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 13017363 of 01/03/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13017363 of 01/03/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13017363 of 01/03/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 13017363 of 01/03/2013)

5) Investment advice (Notification 13017363 of 01/03/2013)

6) Execution of orders on behalf of clients (Notification 13017363 of 01/03/2013)

7) Portfolio management (Notification 13017363 of 01/03/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13017363 of 01/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
| Investment firm: | MPS MARKETPLACE SECURITIES LTD  
Authorization suspended by Cyprus authority since 24/09/2019 |
| Registered office: | 319, 28th Oktomvriou & Pan, Simeou Street |
| City: | 3105 - Limassol |
| Country: | Cipro |
| Notification of Registration: | n. 13003580 of 15/01/2013 |
| Registration no.: | 3598 |

SERVICES PROVIDED IN ITALY

1) 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 (Notification 13003580 of 15/01/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13003580 of 15/01/2013)

3) Execution of orders on behalf of clients (Notification 13003580 of 15/01/2013)

4) Dealing on own account (Notification 13003580 of 15/01/2013)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13003580 of 15/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MTS ASSOCIATED MARKETS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rue Du Commerce 96</td>
</tr>
<tr>
<td>City:</td>
<td>1040 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 55096 of 19/07/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1037</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 55096 of 19/07/2000)
2) Operation of an MTF (Notification 7111471 of 21/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGGER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MUFG SECURITIES EMEA PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Ropemaker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>471</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8098391 of 27/10/2008)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8098391 of 27/10/2008)
3) 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 (Notification 96059817 of 15/07/1996)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)
6) Services related to underwriting (Notification 96059817 of 15/07/1996)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 96059817 of 15/07/1996)
8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)
9) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)
10) Investment advice (Notification 96059817 of 15/07/1996)
11) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

12) Dealing on own account (Notification 96059817 of 15/07/1996)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) 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 (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>5) Services related to underwriting (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>7) Foreign exchange services where these are connected to the provision of investment services (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>9) Placing of financial instruments without a firm commitment basis (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>10) Investment advice (Notification 0071579/19 of 11/02/2019)</td>
</tr>
<tr>
<td>11) Execution of orders on behalf of clients (Notification 0071579/19 of 11/02/2019)</td>
</tr>
</tbody>
</table>
12) Dealing on own account (Notification 0071579/19 of 11/02/2019)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071579/19 of 11/02/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: MUZINICH & CO. (DUBLIN) LIMITED

Registered office: 56 Fitzwilliam Square

City: Dublin2 - Dublino

Country: Irlanda

Notification of Registration: n. 0550100/18 of 28/12/2018

Registration no.: 4930

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0550100/18 of 28/12/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0550100/18 of 28/12/2018)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0550100/18 of 28/12/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0550100/18 of 28/12/2018)

5) Investment advice (Notification 0550100/18 of 28/12/2018)

6) Execution of orders on behalf of clients (Notification 0550100/18 of 28/12/2018)

7) Portfolio management (Notification 0550100/18 of 28/12/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0550100/18 of 28/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MUZINICH &amp; CO. LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Hanover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s1yq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 54749 of 18/07/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1031</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 54749 of 18/07/2000)
2) Investment advice (Notification 54749 of 18/07/2000)
3) Execution of orders on behalf of clients (Notification 54749 of 18/07/2000)
4) Portfolio management (Notification 54749 of 18/07/2000)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 54749 of 18/07/2000)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>MVISION PRIVATE EQUITY ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1y 7ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2006387 of 30/01/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1228</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 2006387 of 30/01/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>M3 CAPITAL PARTNERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>180 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1je9r - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98011143 of 17/02/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>688</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98011143 of 17/02/1998)
3) Investment advice (Notification 98011143 of 17/02/1998)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 98011143 of 17/02/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>N. M. ROTHSCHILD &amp; SONS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St Swithin’S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 8al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102303/18 of 09/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4801</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0102303/18 of 09/04/2018)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0102303/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>N W BROWN &amp; COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Richmond House 16-20 Regent Street Cambridge</td>
</tr>
<tr>
<td>City:</td>
<td>Cb2 1db - Cambridgeshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8001580 of 08/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2155</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8001580 of 08/01/2008)

2) Investment advice (Notification 8001580 of 08/01/2008)

3) Execution of orders on behalf of clients (Notification 8001580 of 08/01/2008)

4) Portfolio management (Notification 8001580 of 08/01/2008)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8001580 of 08/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NAB EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9008103 of 26/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2513</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0097728/17 of 07/08/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 9008103 of 26/01/2009)
3) Placing of financial instruments without a firm commitment basis (Notification 9008103 of 26/01/2009)
4) Execution of orders on behalf of clients (Notification 9008103 of 26/01/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9008103 of 26/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NAGA MARKETS LTD

Registered office: Ariadnis 7, Moutayiaka

City: 4531 - Limassol

Country: Cipro

Notification of Registration: n. 0086008/13 of 30/10/2013

Registration no.: 3844

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0086008/13 of 30/10/2013)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0086008/13 of 30/10/2013)

3) Execution of orders on behalf of clients (Notification 0086008/13 of 30/10/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086008/13 of 30/10/2013)

5) 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 (Notification 0110479/17 of 26/09/2017)

6) Portfolio management (Notification 0110479/17 of 26/09/2017)

7) Dealing on own account (Notification 0110479/17 of 26/09/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NAPIER PARK GLOBAL CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43-45 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6ly - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11052232 of 09/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3165</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11052232 of 09/06/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11052232 of 09/06/2011)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11052232 of 09/06/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11052232 of 09/06/2011)
5) Investment advice (Notification 11052232 of 09/06/2011)
6) Execution of orders on behalf of clients (Notification 11052232 of 09/06/2011)
7) Portfolio management (Notification 11052232 of 09/06/2011)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11052232 of 09/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NATIONAL SECURITIES S.A.

Registered office: 66 Kifissias Avenue Building A

City: 15125 - Marousi

Country: Grecia

Notification of Registration: n. 1086343 of 15/11/2001

Registration no.: 1616

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1086343 of 15/11/2001)

2) Services related to underwriting (Notification 1086343 of 15/11/2001)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 1086343 of 15/11/2001)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1086343 of 15/11/2001)

5) Placing of financial instruments without a firm commitment basis (Notification 1086343 of 15/11/2001)

6) Investment advice (Notification 1086343 of 15/11/2001)

7) Execution of orders on behalf of clients (Notification 1086343 of 15/11/2001)

8) Portfolio management (Notification 1086343 of 15/11/2001)

9) Dealing on own account (Notification 1086343 of 15/11/2001)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 1086343 of 15/11/2001)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0051054/15 of 25/06/2015)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0051054/15 of 25/06/2015)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0051054/15 of 25/06/2015)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0051054/15 of 25/06/2015)

5) Services related to underwriting (Notification 0051054/15 of 25/06/2015)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0051054/15 of 25/06/2015)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0051054/15 of 25/06/2015)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0051054/15 of 25/06/2015)

9) Placing of financial instruments without a firm commitment basis (Notification 0051054/15 of 25/06/2015)

10) Investment advice (Notification 0051054/15 of 25/06/2015)

11) Execution of orders on behalf of clients (Notification 0051054/15 of 25/06/2015)
12) Portfolio management (Notification 0051054/15 of 25/06/2015)
13) Dealing on own account (Notification 0051054/15 of 25/06/2015)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051054/15 of 25/06/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NATIXIS INVESTMENT MANAGERS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Dowgate Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 2ya - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12071597 of 31/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3502</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12071597 of 31/08/2012)
2) Portfolio management (Notification 12071597 of 31/08/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12071597 of 31/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NAU SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Eaton Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 9bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0031646/14 of 16/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3948</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0031646/14 of 16/04/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0031646/14 of 16/04/2014)
3) Investment advice (Notification 0031646/14 of 16/04/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031646/14 of 16/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NAVARINO CAPITAL LIMITED

<table>
<thead>
<tr>
<th>Service Provided</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1)</td>
<td>Investment advice (Notification 10067638 of 02/08/2010)</td>
</tr>
<tr>
<td>2)</td>
<td>Reception and transmission of orders in relation to one or more financial instruments (Notification 10067638 of 02/08/2010)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NBC GLOBAL FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Embassy House, Berbert Park Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin4 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025626/15 of 02/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4148</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0025626/15 of 02/04/2015)
2) Portfolio management (Notification 0025626/15 of 02/04/2015)
3) Dealing on own account (Notification 0025626/15 of 02/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NBH MARKETS EU LIMITED

Registered office: 377 28 Oktovriou, Soboh House, 3rd Floor Neapoli

City: 3107 - Limassol

Country: Cipro

Notification of Registration: n. 0078791/14 of 06/10/2014

Registration no.: 4041

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0078791/14 of 06/10/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0078791/14 of 06/10/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0078791/14 of 06/10/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0078791/14 of 06/10/2014)

5) Execution of orders on behalf of clients (Notification 0078791/14 of 06/10/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078791/14 of 06/10/2014)

7) Portfolio management (Notification 0134554/17 of 11/12/2017)

8) Dealing on own account (Notification 0641118/19 of 18/10/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NBI INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>256, Arch. Makariou iii, Eftapaton Court 2</td>
</tr>
<tr>
<td>City:</td>
<td>3105 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12083320 of 19/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3537</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0000123/18 of 02/01/2018)
2) 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 (Notification 12083320 of 19/10/2012)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12083320 of 19/10/2012)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 12083320 of 19/10/2012)
5) Execution of orders on behalf of clients (Notification 12083320 of 19/10/2012)
6) Portfolio management (Notification 12083320 of 19/10/2012)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12083320 of 19/10/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NEMESIS ASSET MANAGEMENT LLP

Registered office: 42 Brook Street

City: W1k 5db - Londra

Country: Regno Unito

Notification of Registration: n. 2067035 of 14/10/2002

Registration no.: 1311

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 2067035 of 14/10/2002)

2) Investment advice (Notification 2067035 of 14/10/2002)

3) Execution of orders on behalf of clients (Notification 2067035 of 14/10/2002)

4) Portfolio management (Notification 2067035 of 14/10/2002)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 2067035 of 14/10/2002)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEO CAPITAL MARKETS, S.V., S.A.U.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/ Comte Urge11143, Pl. 6 (Delantera)</td>
</tr>
<tr>
<td>City:</td>
<td>08036 - Barcellona</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087576/19 of 18/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4951</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0087576/19 of 18/02/2019)
2) Investment advice (Notification 0087576/19 of 18/02/2019)
3) Dealing on own account (Notification 0087576/19 of 18/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NET CAPITAL AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Box 7313</td>
</tr>
<tr>
<td>City:</td>
<td>103 00 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 16752 of 02/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>982</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 16752 of 02/03/2000)
2) Services related to underwriting (Notification 16752 of 02/03/2000)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 16752 of 02/03/2000)
4) Placing of financial instruments without a firm commitment basis (Notification 16752 of 02/03/2000)
5) Investment advice (Notification 16752 of 02/03/2000)
6) Portfolio management (Notification 16752 of 02/03/2000)
7) Dealing on own account (Notification 16752 of 02/03/2000)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 16752 of 02/03/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NETDANIA MARKETS APS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kronprisessegade 36, 1</td>
</tr>
<tr>
<td>City:</td>
<td>- Copenhagen</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0037302/17 of 24/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4614</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0037302/17 of 24/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NETWEALTH INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1-3 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072903/16 of 04/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4445</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0072903/16 of 04/08/2016)
2) Execution of orders on behalf of clients (Notification 0072903/16 of 04/08/2016)
3) Portfolio management (Notification 0072903/16 of 04/08/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072903/16 of 04/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NEUBERGER BERMAN EUROPE LIMITED

Registered office: 57 Berkeley Square

City: W1j 6er - Londra

Country: Regno Unito

Notification of Registration: n. 6053355 of 19/06/2006

Registration no.: 1667

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6053355 of 19/06/2006)
2) Investment advice (Notification 6053355 of 19/06/2006)
3) Execution of orders on behalf of clients (Notification 6053355 of 19/06/2006)
4) Portfolio management (Notification 6053355 of 19/06/2006)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6053355 of 19/06/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEVASTAR FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Mayfair Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11010046 of 14/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3073</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11010046 of 14/02/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11010046 of 14/02/2011)
3) Investment advice (Notification 11010046 of 14/02/2011)
4) Execution of orders on behalf of clients (Notification 11010046 of 14/02/2011)
5) Portfolio management (Notification 11010046 of 14/02/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010046 of 14/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEW COLLEGE CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39-40 St. James Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059496/14 of 16/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3999</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059496/14 of 16/07/2014)
2) Investment advice (Notification 0059496/14 of 16/07/2014)
3) Portfolio management (Notification 0059496/14 of 16/07/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0059496/14 of 16/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEW ENGLAND ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Oval, Block 3, Ballsbridge</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 4 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12050075 of 12/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3444</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12050075 of 12/06/2012)
2) Investment advice (Notification 12050075 of 12/06/2012)
3) Portfolio management (Notification 12050075 of 12/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEW EUROPE ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 King Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7046458 of 22/05/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1793</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0107595/16 of 05/12/2016)
2) Portfolio management (Notification 0107595/16 of 05/12/2016)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7046458 of 22/05/2007)
4) Services related to underwriting (Notification 7046458 of 22/05/2007)
5) Placing of financial instruments without a firm commitment basis (Notification 7046458 of 22/05/2007)
6) Investment advice (Notification 7046458 of 22/05/2007)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 7046458 of 22/05/2007)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NEW MOMENTUM AV, S.A.

Registered office: C/ Alcala 121 2a Lzda

City: 28009 - Madrid

Country: Spagna

Notification of Registration: n. 0012629/16 of 12/02/2016

Registration no.: 4321

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0011315/19 of 08/01/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011315/19 of 08/01/2019)

3) Services related to underwriting (Notification 0011315/19 of 08/01/2019)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0011315/19 of 08/01/2019)

5) Placing of financial instruments without a firm commitment basis (Notification 0011315/19 of 08/01/2019)

6) Investment advice (Notification 0011315/19 of 08/01/2019)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012629/16 of 12/02/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEWGATE PRIVATE EQUITY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>128 Gregories Road</td>
</tr>
<tr>
<td>City:</td>
<td>Hp9 1ht - Beaconsfield</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5116</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)
2) Investment advice (Notification 0606228/19 of 07/10/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NEWSTATE PARTNERS LLP

Registered office: 33 Cavendish Square

City: W1g 0pw - Londra

Country: Regno Unito

Notification of Registration: n. 10009913 of 04/02/2010

Registration no.: 2779

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10009913 of 04/02/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10009913 of 04/02/2010)

3) Investment advice (Notification 10009913 of 04/02/2010)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10009913 of 04/02/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NEWTON INVESTMENT MANAGEMENT LIMITED

Registered office: 71 Queen Victoria Street
City: Ec4v 4dr - Londra
Country: Regno Unito
Notification of Registration: n. 96056590 of 01/07/1996
Registration no.: 873

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96056590 of 01/07/1996)
3) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEX SEF LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8014913 of 19/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2222</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12048032 of 06/06/2012)
2) Operation of an MTF (Notification 8014913 of 19/02/2008)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm</th>
<th>NEXTAM PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office</td>
<td>St Michael'S House 2 Elizabeth Street</td>
</tr>
<tr>
<td>City</td>
<td>Sw1w9rb - Londra</td>
</tr>
<tr>
<td>Country</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration</td>
<td>n. 0039066/16 of 29/04/2016</td>
</tr>
<tr>
<td>Registration no.</td>
<td>4366</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0039066/16 of 29/04/2016)
2) Investment advice (Notification 0039066/16 of 29/04/2016)
3) Portfolio management (Notification 0039066/16 of 29/04/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0039066/16 of 29/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEXTENERGY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor North Side, 7-10 Chandos Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7111957 of 27/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2137</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7111957 of 27/12/2007)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7111957 of 27/12/2007)
3) Investment advice (Notification 7111957 of 27/12/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7111957 of 27/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEXTMARKETS TRADING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 13 Portomaso Business Tower</td>
</tr>
<tr>
<td>City:</td>
<td>- Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0227463/18 of 28/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4845</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0227463/18 of 28/06/2018)
2) Dealing on own account (Notification 0227463/18 of 28/06/2018)
3) Investment advice (Notification 0591913/19 of 01/10/2019)
4) Portfolio management (Notification 0591913/19 of 01/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NEXUS EUROLINK SECURITIES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>367, Sygrou Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>- Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1006662 of 30/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1091</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 1006662 of 30/01/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NFS NETWORK FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Vasili Vrionides Str. 3095</td>
</tr>
<tr>
<td>City:</td>
<td>3095 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099827/17 of 16/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4653</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0099827/17 of 16/08/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099827/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NFU MUTUAL SELECT INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tidding Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cv37 7bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0121674/18 of 23/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4811</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0121674/18 of 23/04/2018)
2) Execution of orders on behalf of clients (Notification 0121674/18 of 23/04/2018)
3) Dealing on own account (Notification 0121674/18 of 23/04/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0121674/18 of 23/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NFX CAPITAL CY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14, Louki Akrita Street Ayias Zonis</td>
</tr>
<tr>
<td>City:</td>
<td>3030 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021104/14 of 19/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3930</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0021104/14 of 19/03/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0021104/14 of 19/03/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021104/14 of 19/03/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0021104/14 of 19/03/2014)

5) Execution of orders on behalf of clients (Notification 0021104/14 of 19/03/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021104/14 of 19/03/2014)

7) Investment advice (Notification 0268093/19 of 15/05/2019)

8) Portfolio management (Notification 0268093/19 of 15/05/2019)

9) Dealing on own account (Notification 0268093/19 of 15/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NGEN CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074297/15 of 25/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4239</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0074297/15 of 25/09/2015)  
2) Portfolio management (Notification 0074297/15 of 25/09/2015)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074297/15 of 25/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)
3) Investment advice (Notification 96056590 of 01/07/1996)
4) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)
5) Portfolio management (Notification 96056590 of 01/07/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NMAS1 CAPITAL MARKETS, SOCIEDAD DE VALORES, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C /Padilla 17 - 4</td>
</tr>
<tr>
<td>City:</td>
<td>28006 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0042101/16 of 09/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4379</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0042101/16 of 09/05/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0042101/16 of 09/05/2016)
3) Services related to underwriting (Notification 0042101/16 of 09/05/2016)
4) Placing of financial instruments without a firm commitment basis (Notification 0042101/16 of 09/05/2016)
5) Investment advice (Notification 0042101/16 of 09/05/2016)
6) Dealing on own account (Notification 0042101/16 of 09/05/2016)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0042101/16 of 09/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NNIP ASSET MANAGEMENT B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schenkkade 65</td>
</tr>
<tr>
<td>City:</td>
<td>2595as - Den Haag</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98009425 of 11/02/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>684</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 98009425 of 11/02/1998)
2) Portfolio management (Notification 98009425 of 11/02/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NOMURA ASSET MANAGEMENT UK LTD

Registered office: 1 Angel Lane

City: Ec4r 3ab - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 375

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96000620 of 03/01/1996)
3) Portfolio management (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 97069544 of 07/10/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NOMURA BANK INTERNATIONAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Angel Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 3ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021515/16 of 11/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4339</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0021515/16 of 11/03/2016)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0021515/16 of 11/03/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021515/16 of 11/03/2016)

4) Services related to underwriting (Notification 0021515/16 of 11/03/2016)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0021515/16 of 11/03/2016)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0021515/16 of 11/03/2016)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0021515/16 of 11/03/2016)

8) Placing of financial instruments without a firm commitment basis (Notification 0021515/16 of 11/03/2016)

9) Investment advice (Notification 0021515/16 of 11/03/2016)

10) Execution of orders on behalf of clients (Notification 0021515/16 of 11/03/2016)

11) Dealing on own account (Notification 0021515/16 of 11/03/2016)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0021515/16 of 11/03/2016)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0411882/18 of 16/10/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0411882/18 of 16/10/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0411882/18 of 16/10/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0411882/18 of 16/10/2018)

5) Services related to underwriting (Notification 0411882/18 of 16/10/2018)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0411882/18 of 16/10/2018)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0411882/18 of 16/10/2018)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0411882/18 of 16/10/2018)

9) Placing of financial instruments without a firm commitment basis (Notification 0411882/18 of 16/10/2018)

10) Investment advice (Notification 0411882/18 of 16/10/2018)
11) Execution of orders on behalf of clients (Notification 0411882/18 of 16/10/2018)
12) Portfolio management (Notification 0411882/18 of 16/10/2018)
13) Dealing on own account (Notification 0411882/18 of 16/10/2018)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 0411882/18 of 16/10/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NOMURA INTERNATIONAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Angel Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 3ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>238</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 5030662 of 03/05/2005)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5059629 of 31/08/2005)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7097992 of 02/11/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) 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 (Notification 96000620 of 03/01/1996)
6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
7) Services related to underwriting (Notification 96000620 of 03/01/1996)
8) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
9) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
10) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
11) Investment advice (Notification 96000620 of 03/01/1996)
12) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
13) Dealing on own account (Notification 96000620 of 03/01/1996)
14) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Investment firm: NOORDNEDERLANDS EFFEKTENKANTOOR B.V.

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Westerkade 15-1,</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>9718as - Groninga</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086155/15 of 06/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4326</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1. Foreign exchange services where these are connected to the provision of investment services (Notification 0086155/15 of 06/11/2015)
2. Investment advice (Notification 0086155/15 of 06/11/2015)
3. Execution of orders on behalf of clients (Notification 0086155/15 of 06/11/2015)
4. Portfolio management (Notification 0086155/15 of 06/11/2015)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 0086155/15 of 06/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NORDIC EQUITIES FONDKOMMISSION AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Master Samuelsgatan 6</td>
</tr>
<tr>
<td>City:</td>
<td>S-103 89 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96021459 of 12/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>458</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 96021459 of 12/03/1996)
2) Execution of orders on behalf of clients (Notification 96021459 of 12/03/1996)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96021459 of 12/03/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NORTH CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Charlotte House 18 Young Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Eh2 4jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015165/16 of 22/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4329</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0015165/16 of 22/02/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015165/16 of 22/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NORTHERN LIGHTS ALTERNATIVE ADVISORS LLP

Registered office: Rex House 4-12 Regent St.

City: Sw1y4pe - Londra

Country: Regno Unito

Notification of Registration: n. 10017148 of 02/03/2010

Registration no.: 2798

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10017148 of 02/03/2010)
2) Investment advice (Notification 10017148 of 02/03/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10017148 of 02/03/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NORTHERN TRUST GLOBAL INVESTMENTS LIMITED

Registered office: 50 Bank Street

City: E14 5nt - Londra

Country: Regno Unito

Notification of Registration: n. 46695 of 13/06/2000

Registration no.: 1024

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 46695 of 13/06/2000)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 46695 of 13/06/2000)

3) Execution of orders on behalf of clients (Notification 46695 of 13/06/2000)

4) Portfolio management (Notification 46695 of 13/06/2000)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 46695 of 13/06/2000)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9061471 of 02/07/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NORTHERN TRUST SECURITIES LLP

Registered office: 50 Bank Street
City: E14 5nt - Londra
Country: Regno Unito
Notification of Registration: n. 0064955/15 of 07/08/2015
Registration no.: 4222

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0064955/15 of 07/08/2015)
2) Investment advice (Notification 0064955/15 of 07/08/2015)
3) Execution of orders on behalf of clients (Notification 0064955/15 of 07/08/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0064955/15 of 07/08/2015)
5) Dealing on own account (Notification 0097932/17 of 08/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NORTHILL CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13046434 of 27/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3716</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13046434 of 27/05/2013)
2) Investment advice (Notification 13046434 of 27/05/2013)
3) Execution of orders on behalf of clients (Notification 13046434 of 27/05/2013)
4) Portfolio management (Notification 13046434 of 27/05/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13046434 of 27/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NORTHLAND CAPITAL PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Prince Fredrick House 35-39 Maddox Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2pp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11078742 of 20/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3266</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 11078742 of 20/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NORTHLEAF CAPITAL PARTNERS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Waterloo Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10039476 of 03/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2840</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10039476 of 03/05/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10039476 of 03/05/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**Register of EU Investment Firms: Without Branches**

**(Date 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment Firm:</th>
<th>Notesco Financial Services Limited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Office:</td>
<td>2, Iapetou Street, Agios Athanasios</td>
</tr>
<tr>
<td>City:</td>
<td>4101 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11003689 of 20/01/2011</td>
</tr>
<tr>
<td>Registration No.:</td>
<td>3063</td>
</tr>
</tbody>
</table>

**Services Provided in Italy**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0029018/17 of 03/03/2017)

2) Portfolio management (Notification 0029018/17 of 03/03/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0063271/13 of 24/07/2013)

4) Execution of orders on behalf of clients (Notification 0099838/17 of 16/08/2017)

5) Dealing on own account (Notification 0099838/17 of 16/08/2017)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099838/17 of 16/08/2017)

7) 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 (Notification 11003689 of 20/01/2011)

8) Foreign exchange services where these are connected to the provision of investment services (Notification 11003689 of 20/01/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NOTESCO UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24-25 Bevis Marks</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070188/13 of 22/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3780</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070188/13 of 22/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NOVENTUS PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21st Anns Villas</td>
</tr>
<tr>
<td>City:</td>
<td>W11 4rt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7090491 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1914</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7090491 of 01/11/2007)
2) Investment advice (Notification 7090491 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090491 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
INVESTMENT FIRM: NOVETHOS FINANCIAL PARTNERS GMBH

Registered office: Oskar-Schlemmer-Strasse 23
City: 80807 - Monaco
Country: Germania
Notification of Registration: n. 0004245/15 of 20/01/2015
Registration no.: 4087

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0004245/15 of 20/01/2015)
2) Execution of orders on behalf of clients (Notification 0004245/15 of 20/01/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0004245/15 of 20/01/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NOVIA FINANCIAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cambridge House (South) Henry Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ba1 1js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079141/15 of 12/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4244</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0079141/15 of 12/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NOVIA GLOBAL LIMITED

Registered office: Cambridge House Henry Street

City: Ba1 1js - Londra

Country: Regno Unito

Notification of Registration: n. 0078766/15 of 09/10/2015

Registration no.: 4243

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0078766/15 of 09/10/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0078766/15 of 09/10/2015)

3) Execution of orders on behalf of clients (Notification 0078766/15 of 09/10/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078766/15 of 09/10/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NOVOX CAPITAL LTD

Registered office: 60, Regaena Street

City: 1010 - Nicosia

Country: Cipro

Notification of Registration: n. 0030514/14 of 14/04/2014

Registration no.: 3946

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0030514/14 of 14/04/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0030514/14 of 14/04/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0030514/14 of 14/04/2014)

4) Execution of orders on behalf of clients (Notification 0030514/14 of 14/04/2014)

5) Dealing on own account (Notification 0030514/14 of 14/04/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0030514/14 of 14/04/2014)

Please make reference to the Supervisory home Authority’s website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NPEX B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Saturnusstraat 60-75</td>
</tr>
<tr>
<td>City:</td>
<td>2516 Ah - Den Haag</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12015832 of 01/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3369</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 12015832 of 01/03/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12015832 of 01/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NPINVESTOR FONDSMAEGLERSELSKAB A/S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Applebys Plads 7 C/O Copenhagen Fintech Lab</td>
</tr>
<tr>
<td>City:</td>
<td>1411 - Copenhagen</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018720/18 of 31/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4765</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0018720/18 of 31/01/2018)
2) Execution of orders on behalf of clients (Notification 0018720/18 of 31/01/2018)
3) Portfolio management (Notification 0018720/18 of 31/01/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018720/18 of 31/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NPLUS1 SINGER ADVISORY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Bartholomew Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n2ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12010583 of 14/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3357</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12010583 of 14/02/2012)
2) Placing of financial instruments without a firm commitment basis (Notification 12010583 of 14/02/2012)
3) Investment advice (Notification 12010583 of 14/02/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12010583 of 14/02/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: NPLUS1 SINGER CAPITAL MARKETS LIMITED

Registered office: 1 Hanover Street

City: W1s 1ax - Londra

Country: Regno Unito

Notification of Registration: n. 6084452 of 23/10/2006

Registration no.: 1718

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6084452 of 23/10/2006)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6084452 of 23/10/2006)

3) Services related to underwriting (Notification 6084452 of 23/10/2006)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 6084452 of 23/10/2006)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6084452 of 23/10/2006)

6) Placing of financial instruments without a firm commitment basis (Notification 6084452 of 23/10/2006)

7) Investment advice (Notification 6084452 of 23/10/2006)

8) Execution of orders on behalf of clients (Notification 6084452 of 23/10/2006)

9) Dealing on own account (Notification 6084452 of 23/10/2006)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 6084452 of 23/10/2006)

11) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NRP FINANS AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Haakon Vii’S Gate 1</td>
</tr>
<tr>
<td>City:</td>
<td>N0161 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13051927 of 12/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3787</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13051927 of 12/06/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13051927 of 12/06/2013)
3) Services related to underwriting (Notification 13051927 of 12/06/2013)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 13051927 of 12/06/2013)
5) Investment advice (Notification 13051927 of 12/06/2013)
6) Execution of orders on behalf of clients (Notification 13051927 of 12/06/2013)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 13051927 of 12/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NSFX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>168 St Christopher Street</td>
</tr>
<tr>
<td>City:</td>
<td>Vlt 1467 - Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13003587 of 15/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3597</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 13003587 of 15/01/2013)  
2) Dealing on own account (Notification 13003587 of 15/01/2013)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13003587 of 15/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUMIS SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor 10 Paternoster Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7lt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000820 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>260</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 4058998 of 21/06/2004)
2) Placing of financial instruments without a firm commitment basis (Notification 4058998 of 21/06/2004)
3) Dealing on own account (Notification 4058998 of 21/06/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) Services related to underwriting (Notification 96000820 of 03/01/1996)
6) Investment advice (Notification 96000820 of 03/01/1996)
7) Execution of orders on behalf of clients (Notification 96000820 of 03/01/1996)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000820 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUMISMA CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Limassol Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>2112 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057813/13 of 04/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3739</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0057813/13 of 04/07/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0057813/13 of 04/07/2013)
3) Investment advice (Notification 0057813/13 of 04/07/2013)
4) Portfolio management (Notification 0057813/13 of 04/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUNTIUS BROKERAGE AND INVESTMENT SERVICE S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Dragatsaniou Strasse</td>
</tr>
<tr>
<td>City:</td>
<td>10559 - Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096556/15 of 22/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4290</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0090045/16 of 11/10/2016)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096556/15 of 22/12/2015)  
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0101465/17 of 24/08/2017)  
4) Investment advice (Notification 0114975/17 of 10/10/2017)  
5) Portfolio management (Notification 0114975/17 of 10/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUTMEG SAVING AND INVESTMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Unit 201 Vox Studios 1-45 Durham Stree</td>
</tr>
<tr>
<td>City:</td>
<td>Se11 5jh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0504806/18 of 05/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4902</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0504806/18 of 05/12/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0504806/18 of 05/12/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0504806/18 of 05/12/2018)

4) Investment advice (Notification 0504806/18 of 05/12/2018)

5) Execution of orders on behalf of clients (Notification 0504806/18 of 05/12/2018)

6) Portfolio management (Notification 0504806/18 of 05/12/2018)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0504806/18 of 05/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### NUIVEEN ASSET MANAGEMENT EUROPE SARL

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUVEEN ASSET MANAGEMENT EUROPE SARL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4a, Rue Henri Schnadt</td>
</tr>
<tr>
<td>City:</td>
<td>L-2530 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0370564/19 of 26/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5043</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0370564/19 of 26/06/2019)
2) Portfolio management (Notification 0370564/19 of 26/06/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0370564/19 of 26/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUVEEN REAL ESTATE MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>201 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081108/13 of 14/10/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3828</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0081108/13 of 14/10/2013)

2) Investment advice (Notification 0081108/13 of 14/10/2013)

3) Portfolio management (Notification 0081108/13 of 14/10/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081108/13 of 14/10/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NUVEEN UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>201 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3bn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072896/16 of 04/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4443</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0072896/16 of 04/08/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072896/16 of 04/08/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0072896/16 of 04/08/2016)

4) Investment advice (Notification 0072896/16 of 04/08/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072896/16 of 04/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>NYENBURGH HOLDING B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beursplein 5</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Jw - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7014785 of 19/02/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1876</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 7014785 of 19/02/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAK HILL ADVISORS (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Pall Mall</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5es - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6015577 of 16/02/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1620</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6015577 of 16/02/2006)  
2) Execution of orders on behalf of clients (Notification 6015577 of 16/02/2006)  
3) Portfolio management (Notification 6015577 of 16/02/2006)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6015577 of 16/02/2006)  
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)  

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAKLET S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Grand Rue</td>
</tr>
<tr>
<td>City:</td>
<td>L 6630 - Wasserbillig</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13053459 of 18/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3730</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13053459 of 18/06/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13053459 of 18/06/2013)

3) Investment advice (Notification 13053459 of 18/06/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13053459 of 18/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAKLEY CAPITAL GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Alter Hof 4</td>
</tr>
<tr>
<td>City:</td>
<td>80331 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0495500/19 of 22/08/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5070</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0495500/19 of 22/08/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0495500/19 of 22/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAKLEY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Economist Building 25 St. James' S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8110690 of 10/12/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2484</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8110690 of 10/12/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8110690 of 10/12/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAKTREE CAPITAL MANAGEMENT (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5108</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0606228/19 of 07/10/2019)
2) Investment advice (Notification 0606228/19 of 07/10/2019)
3) Execution of orders on behalf of clients (Notification 0606228/19 of 07/10/2019)
4) Portfolio management (Notification 0606228/19 of 07/10/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OAKTREE CAPITAL MANAGEMENT (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e5dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11095902 of 30/11/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3305</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11095902 of 30/11/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11095902 of 30/11/2011)
3) Investment advice (Notification 11095902 of 30/11/2011)
4) Execution of orders on behalf of clients (Notification 11095902 of 30/11/2011)
5) Portfolio management (Notification 11095902 of 30/11/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11095902 of 30/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OANDA EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w Oau - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11055365 of 20/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3170</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11055365 of 20/06/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11055365 of 20/06/2011)
3) Dealing on own account (Notification 11055365 of 20/06/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11055365 of 20/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

Investment firm: OASIS CRESCENT ADVISORY SERVICES (UK) LIMITED

Registered office: 50 Hans Crescent

City: Sw1x 0na - Londra

Country: Regno Unito

Notification of Registration: n. 12041660 of 17/05/2012

Registration no.: 3427

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12041660 of 17/05/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12041660 of 17/05/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OBR INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39 Kolonakiou Frema Plaza</td>
</tr>
<tr>
<td>City:</td>
<td>4103 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0062395/14 of 25/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4003</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0062395/14 of 25/07/2014)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0062395/14 of 25/07/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0062395/14 of 25/07/2014)
4) Execution of orders on behalf of clients (Notification 0062395/14 of 25/07/2014)
5) Dealing on own account (Notification 0062395/14 of 25/07/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0062395/14 of 25/07/2014)
7) Portfolio management (Notification 0069838/15 of 04/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OCH-ZIFF EUROPE LOAN MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Argyl Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0033727/16 of 15/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4360</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0033727/16 of 15/04/2016)
2) Placing of financial instruments without a firm commitment basis (Notification 0033727/16 of 15/04/2016)
3) Investment advice (Notification 0033727/16 of 15/04/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033727/16 of 15/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OCH-ZIFF MANAGEMENT EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Argyll Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018765/16 of 02/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4334</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0018765/16 of 02/03/2016)
2) Investment advice (Notification 0018765/16 of 02/03/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018765/16 of 02/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OCM WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Mallard Close - Ocm Business Centre</td>
</tr>
<tr>
<td>City:</td>
<td>Nn6 0ls - Northampton</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9043132 of 11/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2592</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9043132 of 11/05/2009)
2) Investment advice (Notification 9043132 of 11/05/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9043132 of 11/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OCTA MARKETS CYPRUS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strovolou 47 Kyros Tower 5th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>2018 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0195233/19 of 10/04/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5016</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0195233/19 of 10/04/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0195233/19 of 10/04/2019)

3) Execution of orders on behalf of clients (Notification 0195233/19 of 10/04/2019)

4) Dealing on own account (Notification 0195233/19 of 10/04/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0195233/19 of 10/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OCTO FINANCES SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21, Avenue Kebler</td>
</tr>
<tr>
<td>City:</td>
<td>75016 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 37281 of 18/05/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1022</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 3039978 of 13/06/2003)
2) Execution of orders on behalf of clients (Notification 37281 of 18/05/2000)
3) Dealing on own account (Notification 37281 of 18/05/2000)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8010155 of 04/02/2008)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8010155 of 04/02/2008)
6) Placing of financial instruments without a firm commitment basis (Notification 8010155 of 04/02/2008)
7) Investment advice (Notification 8010155 of 04/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
OCTOGONE EUROPE S.A

68-70 Boulevard De La Petrusse

L-2320 - Lussemburgo

Lussemburgo

n. 0222589/18 of 26/06/2018

4859

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0222589/18 of 26/06/2018)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0222589/18 of 26/06/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0222589/18 of 26/06/2018)

4) Investment advice (Notification 0222589/18 of 26/06/2018)

5) Execution of orders on behalf of clients (Notification 0222589/18 of 26/06/2018)

6) Portfolio management (Notification 0222589/18 of 26/06/2018)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0222589/18 of 26/06/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Portfolio management *(Notification 0131253/17 of 28/11/2017)*
2) Reception and transmission of orders in relation to one or more financial instruments *(Notification 0131253/17 of 28/11/2017)*

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ODDO BHF TRUST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bockenheimer Landstrasse 10</td>
</tr>
<tr>
<td>City:</td>
<td>60323 - Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0010442/18 of 23/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4764</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0010442/18 of 23/01/2018)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0010442/18 of 23/01/2018)
3) Investment advice (Notification 0010442/18 of 23/01/2018)
4) Portfolio management (Notification 0010442/18 of 23/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ODDO OPTIONS SNC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boulevard De La Madeleine N. 12</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98057562 of 10/07/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>928</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 1083679 of 07/11/2001)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1083679 of 07/11/2001)
3) Investment advice (Notification 1083679 of 07/11/2001)
4) Execution of orders on behalf of clients (Notification 1083679 of 07/11/2001)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1083679 of 07/11/2001)
6) Dealing on own account (Notification 98057562 of 10/07/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ODEY WEALTH MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Upper Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 2nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10001680 of 12/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2744</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10001680 of 12/01/2010)
2) Investment advice (Notification 10001680 of 12/01/2010)
3) Execution of orders on behalf of clients (Notification 10001680 of 12/01/2010)
4) Portfolio management (Notification 10001680 of 12/01/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10001680 of 12/01/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OFI INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suites 602 &amp; 603 Octagon Point 5 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v6aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120479/17 of 25/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4700</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0120479/17 of 25/10/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0120479/17 of 25/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm</th>
<th>OIL BROKERAGE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office</td>
<td>16-18 New Bridge Street</td>
</tr>
<tr>
<td>City</td>
<td>Ec4v 6ag - Londra</td>
</tr>
<tr>
<td>Country</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration</td>
<td>n. 0110469/17 of 26/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4683</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0110469/17 of 26/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OLD PARK CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5pa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11039668 of 05/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3146</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11039668 of 05/05/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11039668 of 05/05/2011)

3) Placing of financial instruments without a firm commitment basis (Notification 11039668 of 05/05/2011)

4) Investment advice (Notification 11039668 of 05/05/2011)

5) Execution of orders on behalf of clients (Notification 11039668 of 05/05/2011)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11039668 of 05/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OLIKRIET CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7, Nicou Kranidioti Street</td>
</tr>
<tr>
<td>City:</td>
<td>2411 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13047787 of 30/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3721</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13047787 of 30/05/2013)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 13047787 of 30/05/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13047787 of 30/05/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OLIVETREE FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9038604 of 28/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2578</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0098270/17 of 08/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9038604 of 28/04/2009)
3) Investment advice (Notification 9038604 of 28/04/2009)
4) Execution of orders on behalf of clients (Notification 9038604 of 28/04/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9038604 of 28/04/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: OLYMPIA WEALTH MANAGEMENT LTD

Registered office: 32 Ludgate Hill

City: Ec4m 7dr - Londra

Country: Regno Unito

Notification of Registration: n. 11085851 of 21/10/2011

Registration no.: 3282

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11085851 of 21/10/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11085851 of 21/10/2011)
3) Execution of orders on behalf of clients (Notification 12057266 of 06/07/2012)
4) Portfolio management (Notification 12057266 of 06/07/2012)
5) Placing of financial instruments without a firm commitment basis (Notification 13016078 of 26/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OLZ WEALTH MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bahnhofstrasse 7</td>
</tr>
<tr>
<td>City:</td>
<td>Fl-9494 - Schaan</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7023984 of 22/03/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1781</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7023984 of 22/03/2007)
2) Portfolio management (Notification 7023984 of 22/03/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7023984 of 22/03/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OMADA INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>78 Buckingham Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e6pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092085/13 of 26/11/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3868</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0092085/13 of 26/11/2013)
2) Investment advice (Notification 0092085/13 of 26/11/2013)
3) Execution of orders on behalf of clients (Notification 0092085/13 of 26/11/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092085/13 of 26/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OMEGA FUNDS INVESTMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Georgiou A Street Monastiraki Centre</td>
</tr>
<tr>
<td>City:</td>
<td>4040 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0019658/14 of 13/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3928</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 0009664/15 of 10/02/2015)
2) 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 (Notification 0019658/14 of 13/03/2014)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0019658/14 of 13/03/2014)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0019658/14 of 13/03/2014)
5) Execution of orders on behalf of clients (Notification 0019658/14 of 13/03/2014)
6) Dealing on own account (Notification 0019658/14 of 13/03/2014)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0019658/14 of 13/03/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** OMERS INFRASTRUCTURE EUROPE LIMITED

**Registered office:** 6 New Street Square, New Fetter Lane

**City:** Ec4a3bf - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 12085547 of 29/10/2012

**Registration no.:** 3541

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12085547 of 29/10/2012)

2) Investment advice (Notification 12085547 of 29/10/2012)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12085547 of 29/10/2012)

Please make reference to the Supervisory home Authority website, in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13003579 of 15/01/2013)
2) Investment advice (Notification 13003579 of 15/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13003579 of 15/01/2013)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OMICRON INVEST MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wellnerstrasse, 4</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5082022 of 16/12/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1605</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5082022 of 16/12/2005)
2) Portfolio management (Notification 5082022 of 16/12/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5082022 of 16/12/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ONDRA LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9013909 of 12/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2527</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9013909 of 12/02/2009)
2) Investment advice (Notification 9013909 of 12/02/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9013909 of 12/02/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ONE PEAK PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Babmaes Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y6hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025609/15 of 02/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4146</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0025609/15 of 02/04/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025609/15 of 02/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **ONE PLUS CAPITAL LTD**

Registered office: P.O.Box 25207

City: 1307 - Nicosia

Country: Cipro

Notification of Registration: n. 10093617 of 12/11/2010

Registration no.: 3015

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0018444/16 of 01/03/2016)

2) Execution of orders on behalf of clients (Notification 0018444/16 of 01/03/2016)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10093617 of 12/11/2010)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10093617 of 12/11/2010)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 10093617 of 12/11/2010)


8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10093617 of 12/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OOLDERS HEIJNING &amp; VOOGELAAR B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Amstelbik 166</td>
</tr>
<tr>
<td>City:</td>
<td>1079 Lh - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99051968 of 02/07/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>805</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0462670/18 of 13/11/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 99051968 of 02/07/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPHORST VAN MARWIJK KOOY VERMOGENSBEHEER N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sytwinde 3</td>
</tr>
<tr>
<td>City:</td>
<td>2631 Gp - Nootdorp</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9087233 of 09/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2697</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9087233 of 09/10/2009)
2) Portfolio management (Notification 9087233 of 09/10/2009)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 9087233 of 09/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPPENHEIMER EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Gracechurch Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 0at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8085527 of 16/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2414</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10040067 of 04/05/2010)

2) Execution of orders on behalf of clients (Notification 10040067 of 04/05/2010)

3) Dealing on own account (Notification 10040067 of 04/05/2010)

4) Placing of financial instruments without a firm commitment basis (Notification 10060994 of 08/07/2010)

5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8085527 of 16/09/2008)

6) Investment advice (Notification 8085527 of 16/09/2008)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8085527 of 16/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTEX GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 Fenchurch Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 5ba - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5073425 of 04/11/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1588</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5073425 of 04/11/2005)
2) Investment advice (Notification 5073425 of 04/11/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5073425 of 04/11/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIECLUB.NL B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Keyserswey 29</td>
</tr>
<tr>
<td>City:</td>
<td>2201 - Noordwijk</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0017794/15 of 04/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4166</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0017794/15 of 04/05/2015)  
2) Dealing on own account (Notification 0017794/15 of 04/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIMISE WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Lincoln Road Northwood</td>
</tr>
<tr>
<td>City:</td>
<td>Ha61ld - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0164821/19 of 28/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5004</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0164821/19 of 28/03/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0164821/19 of 28/03/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0164821/19 of 28/03/2019)

4) Investment advice (Notification 0164821/19 of 28/03/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0164821/19 of 28/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIMUS CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>54 Welbeck Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g9xs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10011340 of 10/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2769</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10011340 of 10/02/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10011340 of 10/02/2010)

3) Investment advice (Notification 10011340 of 10/02/2010)

4) Execution of orders on behalf of clients (Notification 10011340 of 10/02/2010)

5) Portfolio management (Notification 10011340 of 10/02/2010)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10011340 of 10/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIONRALLY FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1, Griva Digeni Street, Zavos Kriel Court</td>
</tr>
<tr>
<td>City:</td>
<td>3035 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015146/14 of 25/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3915</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0015146/14 of 25/02/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0015146/14 of 25/02/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0015146/14 of 25/02/2014)

4) Execution of orders on behalf of clients (Notification 0015146/14 of 25/02/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015146/14 of 25/02/2014)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093483/15 of 09/12/2015)

7) Investment advice (Notification 0093483/15 of 09/12/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIONSX PRESS EUROPE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strawinsky Laan 705</td>
</tr>
<tr>
<td>City:</td>
<td>1077xx - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6067498 of 07/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1697</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 6067498 of 07/08/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIVA SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55-61 Mortimer Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 8hs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96065260 of 01/08/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>569</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96065260 of 01/08/1996)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96065260 of 01/08/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPTIVER V.O.F.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Strawinskylaan 3095</td>
</tr>
<tr>
<td>City:</td>
<td>1077 Zx - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1013279 of 23/02/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1105</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 1013279 of 23/02/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OPUS CORPORATE FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Bell Yard</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2a 2jr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8092688 of 07/10/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2432</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8092688 of 07/10/2008)
2) Investment advice (Notification 8092688 of 07/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORA TRADERS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Malleweg, 2</td>
</tr>
<tr>
<td>City:</td>
<td>1902 Rx - Castricum</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096872/16 of 28/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4492</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0096872/16 of 28/10/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ORBEO

Registered office: 31, Rue Croix - Des - Petits - Champs

City: 75001 - Parigi

Country: Francia

Notification of Registration: n. 8002385 of 10/01/2008

Registration no.: 2160

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8002385 of 10/01/2008)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8002385 of 10/01/2008)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 8002385 of 10/01/2008)

4) Execution of orders on behalf of clients (Notification 8002385 of 10/01/2008)

5) Dealing on own account (Notification 8002385 of 10/01/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORBEX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Maximos Michaelides Street</td>
</tr>
<tr>
<td>City:</td>
<td>3106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11040856 of 10/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3148</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050210/16 of 30/05/2016)

2) 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 (Notification 11040856 of 10/05/2011)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11040856 of 10/05/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11040856 of 10/05/2011)

5) Execution of orders on behalf of clients (Notification 11040856 of 10/05/2011)

6) Dealing on own account (Notification 11040856 of 10/05/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11040856 of 10/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>ORBIS INVESTMENT ADVISORY LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>5 Mansfield Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1g 9ng - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 11068148 of 01/08/2011</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3220</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11068148 of 01/08/2011)
2) Investment advice (Notification 11068148 of 01/08/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11068148 of 01/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ORBIT INVESTMENT SECURITIES SERVICES PLC

Registered office: 14 Lyon Road

City: Hac 2en - Londra

Country: Regno Unito

Notification of Registration: n. 6041170 of 10/05/2006

Registration no.: 1649

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6041170 of 10/05/2006)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6041170 of 10/05/2006)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 6041170 of 10/05/2006)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6041170 of 10/05/2006)

5) Placing of financial instruments without a firm commitment basis (Notification 6041170 of 10/05/2006)

6) Investment advice (Notification 6041170 of 10/05/2006)

7) Execution of orders on behalf of clients (Notification 6041170 of 10/05/2006)

8) Dealing on own account (Notification 6041170 of 10/05/2006)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 6041170 of 10/05/2006)

10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORIENT FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27-33 Avenue Des Champs Elysées</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074311/15 of 25/09/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4240</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0074311/15 of 25/09/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074311/15 of 25/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORIGEN FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40-43 Chancery Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2a 1ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7109723 of 17/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2122</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7109723 of 17/12/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7109723 of 17/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORION WEALTH LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Sackville Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11070692 of 08/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3229</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11070692 of 08/08/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11070692 of 08/08/2011)
3) Investment advice (Notification 11070692 of 08/08/2011)
4) Execution of orders on behalf of clients (Notification 11070692 of 08/08/2011)
5) Portfolio management (Notification 11070692 of 08/08/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11070692 of 08/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ORKLA FINANS FONDSMEGLING ASA

Registered office: Tordenskioldsgt 8/10

City: N -0121 - Oslo

Country: Norvegia

Notification of Registration: n. 98097975 of 28/12/1998

Registration no.: 751

SERVICES PROVIDED IN ITALY

1) 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 (Notification 98097975 of 28/12/1998)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98097975 of 28/12/1998)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 98097975 of 28/12/1998)

4) Services related to underwriting (Notification 98097975 of 28/12/1998)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 98097975 of 28/12/1998)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98097975 of 28/12/1998)

7) Placing of financial instruments without a firm commitment basis (Notification 98097975 of 28/12/1998)

8) Investment advice (Notification 98097975 of 28/12/1998)

9) Execution of orders on behalf of clients (Notification 98097975 of 28/12/1998)

10) Portfolio management (Notification 98097975 of 28/12/1998)

11) Dealing on own account (Notification 98097975 of 28/12/1998)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 98097975 of 28/12/1998)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ORKLA FINANS KAPITALFORVALTNING ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tordenskioldsgt 8/10</td>
</tr>
<tr>
<td>City:</td>
<td>- Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6024592 of 20/03/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1632</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6024592 of 20/03/2006)

2) Services related to underwriting (Notification 6024592 of 20/03/2006)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 6024592 of 20/03/2006)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6024592 of 20/03/2006)

5) Placing of financial instruments without a firm commitment basis (Notification 6024592 of 20/03/2006)

6) Investment advice (Notification 6024592 of 20/03/2006)

7) Execution of orders on behalf of clients (Notification 6024592 of 20/03/2006)

8) Dealing on own account (Notification 6024592 of 20/03/2006)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 6024592 of 20/03/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>ORTELIUS WEALTH MANAGEMENT B.V.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Amaliaan 126-E</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>3743kj - Baarn</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0074769/13 of 17/09/2013</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3812</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0074769/13 of 17/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OSIRIS ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Austrasse 52, Postfach 157</td>
</tr>
<tr>
<td>City:</td>
<td>FI 9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13044407 of 21/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3711</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13044407 of 21/05/2013)
2) Investment advice (Notification 13044407 of 21/05/2013)
3) Portfolio management (Notification 13044407 of 21/05/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13044407 of 21/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OTC EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Finsbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 1af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047841 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2867</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10047841 of 25/05/2010)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10047841 of 25/05/2010)

3) Investment advice (Notification 10047841 of 25/05/2010)

4) Execution of orders on behalf of clients (Notification 10047841 of 25/05/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047841 of 25/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: OTKRITIE BROKER LTD

Registered office: Kaningos And Anastasi Shoukri Streets

City: 3105 - Limassol

Country: Cipro

Notification of Registration: n. 0095147/16 of 25/10/2016

Registration no.: 4490

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0095147/16 of 25/10/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0095147/16 of 25/10/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0095147/16 of 25/10/2016)

4) Execution of orders on behalf of clients (Notification 0095147/16 of 25/10/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095147/16 of 25/10/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 8017123 of 26/02/2008)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8017123 of 26/02/2008)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 8017123 of 26/02/2008)

4) Execution of orders on behalf of clients (Notification 8017123 of 26/02/2008)

5) Portfolio management (Notification 8017123 of 26/02/2008)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8017123 of 26/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OUTSET GLOBAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Townmead Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 2tl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12020624 of 21/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3384</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 12020624 of 21/03/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020624 of 21/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OVAL MONEY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flat G 88 Philbeach Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw5 9eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0027911/18 of 05/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4768</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0027911/18 of 05/02/2018)
2) Placing of financial instruments without a firm commitment basis (Notification 0288895/19 of 23/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OVB ALLFINANZVERMITTLUNGS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Alte Aignerstrasse 43</td>
</tr>
<tr>
<td>City:</td>
<td>5026 - Salisburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4019181 of 01/03/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1425</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 4019181 of 01/03/2004)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 4019181 of 01/03/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Overlay Asset Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Rue Du Faubourg Saint-Honore'</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4024028 of 17/03/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1428</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 4024028 of 17/03/2004)
2. Portfolio management (Notification 4024028 of 17/03/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: OWNERSHIP CAPITAL B.V.

Registered office: Herengracht 105 T/M 107,
City: 1015 Be - Amsterdam
Country: Paesi Bassi

Notification of Registration: n. 0092223/13 of 27/11/2013
Registration no.: 3869

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0092223/13 of 27/11/2013)
2) Portfolio management (Notification 0092223/13 of 27/11/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092223/13 of 27/11/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: OX CAPITAL MARKETS LTD

Registered office: 67, Spyrou Kyprianou Street

City: 4042 - Limassol

Country: Cipro

Notification of Registration: n. 0048909/15 of 17/06/2015

Registration no.: 4190

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0048909/15 of 17/06/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0048909/15 of 17/06/2015)

3) Execution of orders on behalf of clients (Notification 0048909/15 of 17/06/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0048909/15 of 17/06/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OX GLOBAL INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 John Princes Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g0jr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0024390/14 of 28/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3965</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 0024390/14 of 28/03/2014)
2. Execution of orders on behalf of clients (Notification 0024390/14 of 28/03/2014)
3. Portfolio management (Notification 0024390/14 of 28/03/2014)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0024390/14 of 28/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>OXFORD PORTFOLIO ADVISERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flat 1, 7 Belgrave Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Nw8 0qy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093499/15 of 09/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4276</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0093499/15 of 09/12/2015)
2) Execution of orders on behalf of clients (Notification 0093499/15 of 09/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093499/15 of 09/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>P. SCHOENFELD ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>1st Floor 6-10 Bruton Street,</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1j 6px - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0055834/16 of 15/06/2016</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4406</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0055834/16 of 15/06/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0055834/16 of 15/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PAAMCO PRISMA EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 0ex - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3068141 of 23/10/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1391</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 3068141 of 23/10/2003)
2) Investment advice (Notification 3068141 of 23/10/2003)
3) Portfolio management (Notification 3068141 of 23/10/2003)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 3068141 of 23/10/2003)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PAGE RUSSELL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kempson Way Bury St. Edmunds</td>
</tr>
<tr>
<td>City:</td>
<td>Ip32 7ar - Suffolk</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7097997 of 02/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2004</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7097997 of 02/11/2007)
2) Investment advice (Notification 7097997 of 02/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7097997 of 02/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PAIRSTECH CAPITAL MANAGEMENT LLP

Registered office: Norvin House, 45-55 Commercial Street

City: E1 6bd - Londra

Country: Regno Unito

Notification of Registration: n. 10061789 of 12/07/2010

Registration no.: 2908

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10061789 of 12/07/2010)
2) Investment advice (Notification 10061789 of 12/07/2010)
3) Portfolio management (Notification 10061789 of 12/07/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10061789 of 12/07/2010)
5) Placing of financial instruments without a firm commitment basis (Notification 13025117 of 28/03/2013)

Please make reference to the Supervisory home Authority [website](https://www.supervisoryhomeauthority.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PALATIUM INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Broadgate West 1 Snowden Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8061600 of 30/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2344</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 8061600 of 30/06/2008)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8061600 of 30/06/2008)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8061600 of 30/06/2008)
4) Investment advice (Notification 8061600 of 30/06/2008)
5) Execution of orders on behalf of clients (Notification 8061600 of 30/06/2008)
6) Portfolio management (Notification 8061600 of 30/06/2008)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8061600 of 30/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PALOMAR CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25b Lloyd Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1x 9at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13009105 of 01/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3618</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 13009105 of 01/02/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009105 of 01/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
PANGEA PROPERTY PARTNERS AS

Registered office: Stranden 1a
City: 0250 - Oslo
Country: Norvegia
Notification of Registration: n. 9092392 of 30/10/2009
Registration no.: 2711

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9092392 of 30/10/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9092392 of 30/10/2009)
3) Services related to underwriting (Notification 9092392 of 30/10/2009)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 9092392 of 30/10/2009)
5) Placing of financial instruments without a firm commitment basis (Notification 9092392 of 30/10/2009)
6) Investment advice (Notification 9092392 of 30/10/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9092392 of 30/10/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>PANMURE GORDON (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One New Change London</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 9af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6096406 of 05/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1729</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6096406 of 05/12/2006)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6096406 of 05/12/2006)

3) Services related to underwriting (Notification 6096406 of 05/12/2006)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 6096406 of 05/12/2006)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6096406 of 05/12/2006)

6) Placing of financial instruments without a firm commitment basis (Notification 6096406 of 05/12/2006)

7) Investment advice (Notification 6096406 of 05/12/2006)

8) Execution of orders on behalf of clients (Notification 6096406 of 05/12/2006)

9) Dealing on own account (Notification 6096406 of 05/12/2006)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 6096406 of 05/12/2006)

11) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PANNELLS FINANCIAL PLANNING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Great Charles Street, Queensway</td>
</tr>
<tr>
<td>City:</td>
<td>B3 21x - Birmingham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7111956 of 27/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2127</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7111956 of 27/12/2007)
2) Investment advice (Notification 7111956 of 27/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7111956 of 27/12/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARADIGM NORTON FINANCIAL PLANNING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Macrae Road, Ham Green, Avon</td>
</tr>
<tr>
<td>City:</td>
<td>Bs20 0dd - Bristol</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7098335 of 05/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1949</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098335 of 05/11/2007)
2) Investment advice (Notification 7098335 of 05/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098335 of 05/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARAPET CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51 Canyuge Road</td>
</tr>
<tr>
<td>City:</td>
<td>Bs83lh - Bristol</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12060624 of 19/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3471</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12060624 of 19/07/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12060624 of 19/07/2012)
3) Investment advice (Notification 12060624 of 19/07/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12060624 of 19/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARETO FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 St. John Street</td>
</tr>
<tr>
<td>City:</td>
<td>M3 4du - Manchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071936/16 of 02/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4441</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071936/16 of 02/08/2016)
2) Investment advice (Notification 0071936/16 of 02/08/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071936/16 of 02/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARETO PRIVATE EQUITY AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dronning Mauds Gate 3</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norway</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8031486 of 04/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2272</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8031486 of 04/04/2008)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8031486 of 04/04/2008)
3) Services related to underwriting (Notification 8031486 of 04/04/2008)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8031486 of 04/04/2008)
5) Placing of financial instruments without a firm commitment basis (Notification 8031486 of 04/04/2008)
6) Execution of orders on behalf of clients (Notification 8031486 of 04/04/2008)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8031486 of 04/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PARETO SECURITIES ASA

Registered office: Dronning Mauds Gate 3 P.O. Box 1411 Vika

City: No-0115 - Oslo

Country: Norvegia

Notification of Registration: n. 7009035 of 30/01/2007

Registration no.: 1769

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7009035 of 30/01/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7009035 of 30/01/2007)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7009035 of 30/01/2007)

4) Services related to underwriting (Notification 7009035 of 30/01/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7009035 of 30/01/2007)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7009035 of 30/01/2007)

7) Placing of financial instruments without a firm commitment basis (Notification 7009035 of 30/01/2007)

8) Investment advice (Notification 7009035 of 30/01/2007)

9) Execution of orders on behalf of clients (Notification 7009035 of 30/01/2007)

10) Dealing on own account (Notification 7009035 of 30/01/2007)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 7009035 of 30/01/2007)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARETO SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Angel Court</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1004160 of 22/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1084</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1004160 of 22/01/2001)
2) Services related to underwriting (Notification 1004160 of 22/01/2001)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1004160 of 22/01/2001)
4) Placing of financial instruments without a firm commitment basis (Notification 1004160 of 22/01/2001)
5) Investment advice (Notification 1004160 of 22/01/2001)
6) Execution of orders on behalf of clients (Notification 1004160 of 22/01/2001)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 1004160 of 22/01/2001)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARETO SECURITIES OY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Aleksanterikatu 44</td>
</tr>
<tr>
<td>City:</td>
<td>000100 - Helsinki</td>
</tr>
<tr>
<td>Country:</td>
<td>Finlandia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0097067/12 of 17/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3888</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 0097067/12 of 17/12/2013)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0097067/12 of 17/12/2013)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0097067/12 of 17/12/2013)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0097067/12 of 17/12/2013)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0097067/12 of 17/12/2013)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0097067/12 of 17/12/2013)

7) Placing of financial instruments without a firm commitment basis (Notification 0097067/12 of 17/12/2013)

8) Investment advice (Notification 0097067/12 of 17/12/2013)

9) Execution of orders on behalf of clients (Notification 0097067/12 of 17/12/2013)

10) Dealing on own account (Notification 0097067/12 of 17/12/2013)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097067/12 of 17/12/2013)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: PARK SQUARE CAPITAL, LLP

Registered office: 5 Stratton Street

City: W1j 8la - Londra

Country: Regno Unito

Notification of Registration: n. 13009607 of 05/02/2013

Registration no.: 3620

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13009607 of 05/02/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13009607 of 05/02/2013)

3) Investment advice (Notification 13009607 of 05/02/2013)

4) Execution of orders on behalf of clients (Notification 13009607 of 05/02/2013)

5) Portfolio management (Notification 13009607 of 05/02/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009607 of 05/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARK VALE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Hester Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw11 4ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0003849/15 of 19/01/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4085</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0003849/15 of 19/01/2015)
2) Investment advice (Notification 0003849/15 of 19/01/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0003849/15 of 19/01/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARTNER CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Grafton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s4ey - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>84</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96000620 of 03/01/1996)
3) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARTNERS CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor 5 Young Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 5eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0029534/16 of 04/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4351</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0029534/16 of 04/04/2016)  
2) Execution of orders on behalf of clients (Notification 0029534/16 of 04/04/2016)  
3) Portfolio management (Notification 0029534/16 of 04/04/2016)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029534/16 of 04/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARTNERS GROUP (DEUTSCHLAND) GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Erika-Mann-Strasse 7</td>
</tr>
<tr>
<td>City:</td>
<td>80636 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0389006/19 of 04/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5051</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0389006/19 of 04/07/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0389006/19 of 04/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PARTNERS GROUP (UK) MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Heron Tower 110 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 4ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071933/16 of 02/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4439</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071933/16 of 02/08/2016)
2) Placing of financial instruments without a firm commitment basis (Notification 0071933/16 of 02/08/2016)
3) Investment advice (Notification 0071933/16 of 02/08/2016)
4) Execution of orders on behalf of clients (Notification 0071933/16 of 02/08/2016)
5) Portfolio management (Notification 0071933/16 of 02/08/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071933/16 of 02/08/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PARTNERS INVESTMENT COMPANY LLP**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>17 Albemarle Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>W1s 4hp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0047861/18 of 22/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4778</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0047861/18 of 22/02/2018)
2) Execution of orders on behalf of clients (Notification 0047861/18 of 22/02/2018)
3) Portfolio management (Notification 0047861/18 of 22/02/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0047861/18 of 22/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PATHWAY CAPITAL MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Bedford Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2e 9he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8055265 of 10/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2321</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8055265 of 10/06/2008)
2) Investment advice (Notification 8055265 of 10/06/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8055265 of 10/06/2008)

Please make reference to the Supervisory home Authority website, in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PATRIZIA INSTITUTIONAL CLIENTS &amp; ADVISORY GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fuggerstr. 26</td>
</tr>
<tr>
<td>City:</td>
<td>86150 - Augsburg</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0140956/17 of 29/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4737</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0140956/17 of 29/12/2017)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0140956/17 of 29/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PATRON CAPITAL ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068153 of 01/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3221</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11068153 of 01/08/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11068153 of 01/08/2011)
3) Investment advice (Notification 11068153 of 01/08/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11068153 of 01/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PAYDEN & RYGEL GLOBAL LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>1 Bartholomew Lane -</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2n 2ax - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2014519 of 04/03/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1242</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2014519 of 04/03/2002)
2) Portfolio management (Notification 2014519 of 04/03/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071444/18 of 15/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEARL DIVER CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Snow Hill,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 2ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060087/15 of 24/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4214</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060087/15 of 24/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEEL HUNT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>111 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1003104 of 16/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1076</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1003104 of 16/01/2001)
2) Services related to underwriting (Notification 1003104 of 16/01/2001)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 1003104 of 16/01/2001)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1003104 of 16/01/2001)
5) Placing of financial instruments without a firm commitment basis (Notification 1003104 of 16/01/2001)
6) Investment advice (Notification 1003104 of 16/01/2001)
7) Execution of orders on behalf of clients (Notification 1003104 of 16/01/2001)
8) Dealing on own account (Notification 1003104 of 16/01/2001)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 1003104 of 16/01/2001)
10) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1109068 of 09/11/2011)
11) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEGASUS CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cray Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Br5 3qb - Orpington</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11077232 of 12/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3260</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11077232 of 12/09/2011)

2) Investment advice (Notification 11077232 of 12/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PELLO CAPITAL LIMITED

Registered office: 18 St Swithins Lane,

City: Ec4n 8ad - Londra

Country: Regno Unito

Notification of Registration: n. 0101343/16 of 14/11/2016

Registration no.: 4504

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0101343/16 of 14/11/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0101343/16 of 14/11/2016)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0101343/16 of 14/11/2016)

4) Placing of financial instruments without a firm commitment basis (Notification 0101343/16 of 14/11/2016)

5) Investment advice (Notification 0101343/16 of 14/11/2016)

6) Execution of orders on behalf of clients (Notification 0101343/16 of 14/11/2016)

7) Portfolio management (Notification 0101343/16 of 14/11/2016)

8) Dealing on own account (Notification 0101343/16 of 14/11/2016)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101343/16 of 14/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEMBERTON CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Terminal House, 52 Grosvenor Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086613/13 of 04/11/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3865</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086613/13 of 04/11/2013)

2) Investment advice (Notification 0086613/13 of 04/11/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086613/13 of 04/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEMBROKE CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Grafton Street London</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6055284 of 27/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1669</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6055284 of 27/06/2006)
2) Investment advice (Notification 6055284 of 27/06/2006)
3) Execution of orders on behalf of clients (Notification 6055284 of 27/06/2006)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6055284 of 27/06/2006)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PENSION ADVICE SPECIALISTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Stafford Court 145 Washway Road Sale</td>
</tr>
<tr>
<td>City:</td>
<td>M33 7pe - Cheshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0541659/18 of 21/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4917</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0541659/18 of 21/12/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0541659/18 of 21/12/2018)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0541659/18 of 21/12/2018)
4) Investment advice (Notification 0541659/18 of 21/12/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0541659/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PENTALPHA CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 0nf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002326/15 of 13/01/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4084</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002326/15 of 13/01/2015)
2) Investment advice (Notification 0002326/15 of 13/01/2015)
3) Execution of orders on behalf of clients (Notification 0002326/15 of 13/01/2015)
4) Portfolio management (Notification 0002326/15 of 13/01/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002326/15 of 13/01/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PEPPERSTONE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005104/17 of 16/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4541</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0005104/17 of 16/01/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0005104/17 of 16/01/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0005104/17 of 16/01/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0005104/17 of 16/01/2017)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0005104/17 of 16/01/2017)

6) Placing of financial instruments without a firm commitment basis (Notification 0005104/17 of 16/01/2017)

7) Execution of orders on behalf of clients (Notification 0005104/17 of 16/01/2017)

8) Dealing on own account (Notification 0005104/17 of 16/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERELLA WEINBERG PARTNERS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grafton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6089407 of 08/11/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1720</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Placing of financial instruments without a firm commitment basis (Notification 0111707/17 of 29/09/2017)
2. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6089407 of 08/11/2006)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 6089407 of 08/11/2006)
5. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERFORMANCE RONNARU COMPANY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7b Andrea Papakosta Street</td>
</tr>
<tr>
<td>City:</td>
<td>1037 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002401/16 of 13/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4301</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0002401/16 of 13/01/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0002401/16 of 13/01/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0002401/16 of 13/01/2016)

4) Execution of orders on behalf of clients (Notification 0002401/16 of 13/01/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERINVEST (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10026717 of 25/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2822</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10026717 of 25/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSHING SECURITIES INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Riverside Two, Sir John Rogerson’S Quay Dublin 2</td>
</tr>
<tr>
<td>City:</td>
<td>D02kv60 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0550102/18 of 28/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4931</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0550102/18 of 28/12/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0550102/18 of 28/12/2018)

3) Execution of orders on behalf of clients (Notification 0550102/18 of 28/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSHING SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Capstan House One Clove Crescent East India Dock</td>
</tr>
<tr>
<td>City:</td>
<td>E14 2bh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>536</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 2020933 of 02/04/2002)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 3000363 of 07/01/2003)
3) 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 (Notification 3015584 of 11/03/2003)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96059817 of 15/07/1996)
5) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSIST GLOBAL WEALTH MANAGEMENT B.V,</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rembrandtweg 665</td>
</tr>
<tr>
<td>City:</td>
<td>1181 Ag - Amstelveen</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025191/19 of 16/01/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4934</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0025191/19 of 16/01/2019)
2) Portfolio management (Notification 0025191/19 of 16/01/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025191/19 of 16/01/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>PERSPECTIVE CAPITAL MANAGEMENT LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Vicarage Lane</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>So32 2qt - Southampton</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 10044138 of 14/05/2010</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2855</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10044138 of 14/05/2010)
2) Execution of orders on behalf of clients (Notification 10044138 of 14/05/2010)
3) Portfolio management (Notification 10044138 of 14/05/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10044138 of 14/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSPECTIVE (EAST ANGLIA) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wingham House, 9 Freeport Office Village</td>
</tr>
<tr>
<td>City:</td>
<td>Cm77 8yg - Essex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7100999 of 14/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2060</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7100999 of 14/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7100999 of 14/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSPECTIVE (MIDLANDS &amp; CHESHIRE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Whitehall House Sandy Lane</td>
</tr>
<tr>
<td>City:</td>
<td>St5 Olz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012183/16 of 11/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4320</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0012183/16 of 11/02/2016)

2) Investment advice (Notification 0012183/16 of 11/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSPECTIVE (NORTH EAST) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Brenkley Way, Seaton Burn</td>
</tr>
<tr>
<td>City:</td>
<td>Ne13 6ds - Newcastle</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099818 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2006</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7099818 of 09/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099818 of 09/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSPECTIVE (NORTH) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51-53 East Parade</td>
</tr>
<tr>
<td>City:</td>
<td>Hg1 5lq - Harrogate</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10092749 of 09/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3012</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10092749 of 09/11/2010)
2) Investment advice (Notification 10092749 of 09/11/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10092749 of 09/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PERSPECTIVE (SOUTH) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Brooke Court</td>
</tr>
<tr>
<td>City:</td>
<td>Sk9 3nd - Wilmslow</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12037475 of 07/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3417</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12037475 of 07/05/2012)
2) Investment advice (Notification 12037475 of 07/05/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12037475 of 07/05/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: PETER GRINDROD

Registered office: Glenfield Park Turner Road Nelson

City: Bb97dr - Lancashire

Country: Regno Unito

Notification of Registration: n. 8004318 of 17/01/2008

Registration no.: 2174

SERVICES PROVIDED IN ITALY

1) 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 (Notification 8004318 of 17/01/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8004318 of 17/01/2008)

3) Services related to underwriting (Notification 8004318 of 17/01/2008)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 8004318 of 17/01/2008)

5) Investment advice (Notification 8004318 of 17/01/2008)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 8004318 of 17/01/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PETER R.T HOLDEN &amp; PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Piano Factory 113 -117 Farringdon Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1r 3bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7103102 of 21/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2021</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7103102 of 21/11/2007)
2) Investment advice (Notification 7103102 of 21/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7103102 of 21/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PETER STEWART ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>131 Croydon Road</td>
</tr>
<tr>
<td>City:</td>
<td>Br3 3ra - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005111/17 of 16/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4543</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0005111/17 of 16/01/2017)
2) Investment advice (Notification 0005111/17 of 16/01/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0005111/17 of 16/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PETERCAM NEDERLAND B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>De Lairessestraat 180</td>
</tr>
<tr>
<td>City:</td>
<td>1075 Hm - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2011158 of 19/02/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1237</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2011158 of 19/02/2002)
2) Services related to underwriting (Notification 2011158 of 19/02/2002)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 2011158 of 19/02/2002)
4) Placing of financial instruments without a firm commitment basis (Notification 2011158 of 19/02/2002)
5) Investment advice (Notification 2011158 of 19/02/2002)
6) Execution of orders on behalf of clients (Notification 2011158 of 19/02/2002)
7) Dealing on own account (Notification 2011158 of 19/02/2002)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 2011158 of 19/02/2002)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PETERCAM SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Place Sainte Gudule 19</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98097381 of 22/12/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>750</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12073334 of 11/09/2012)  
2) Portfolio management (Notification 12073334 of 11/09/2012)  
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8016837 of 26/02/2008)  
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8016837 of 26/02/2008)  
5) Services related to underwriting (Notification 8016837 of 26/02/2008)  
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8016837 of 26/02/2008)  
7) Placing of financial instruments without a firm commitment basis (Notification 8016837 of 26/02/2008)  
8) Execution of orders on behalf of clients (Notification 8016837 of 26/02/2008)  
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 98097381 of 22/12/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>PETRAM &amp; CO N.V.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Maliesingel 27</td>
</tr>
<tr>
<td>City:</td>
<td>3581 Bh - Utrecht</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0089638/16 of 10/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4481</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0089638/16 of 10/10/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PFG-UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>170-173 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 9ej - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9083846 of 25/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2679</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099162/13 of 30/12/2013)
2) Investment advice (Notification 9083846 of 25/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PGD STRATEGY LIMITED**

Registered office: 8 Bidwell Gardens

City: N11 2ax - Londra

Country: Regno Unito

Notification of Registration: n. 7098709 of 06/11/2007

Registration no.: 1961

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7098709 of 06/11/2007)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098709 of 06/11/2007)

3) Investment advice (Notification 7098709 of 06/11/2007)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098709 of 06/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PGIM LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Grand Buildings 1-3 Strand Trafalgar Square</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 5hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4001409 of 09/01/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1413</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4001409 of 09/01/2004)
2) Services related to underwriting (Notification 4001409 of 09/01/2004)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 4001409 of 09/01/2004)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 4001409 of 09/01/2004)
5) Placing of financial instruments without a firm commitment basis (Notification 4001409 of 09/01/2004)
6) Investment advice (Notification 4001409 of 09/01/2004)
7) Execution of orders on behalf of clients (Notification 4001409 of 09/01/2004)
8) Portfolio management (Notification 4001409 of 09/01/2004)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 4001409 of 09/01/2004)
10) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
11) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9084785 of 30/09/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PHANAR ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 Eccleston Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 1nz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081793/16 of 13/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4465</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0081793/16 of 13/09/2016)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0081793/16 of 13/09/2016)
3) Investment advice (Notification 0081793/16 of 13/09/2016)
4) Execution of orders on behalf of clients (Notification 0081793/16 of 13/09/2016)
5) Portfolio management (Notification 0081793/16 of 13/09/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081793/16 of 13/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PHARMAVENTURES CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Triumph House 1300 Parkway Court</td>
</tr>
<tr>
<td>City:</td>
<td>Ox4 2jy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0100393/17 of 18/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4656</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0100393/17 of 18/08/2017)
2) Investment advice (Notification 0100393/17 of 18/08/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0100393/17 of 18/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PHARO MANAGEMENT (UK) LLP**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>8 Lancelot Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Sw7 1dr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10047842 of 25/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2866</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 10047842 of 25/05/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10079548 of 29/09/2010)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10079548 of 29/09/2010)

4) Investment advice (Notification 10079548 of 29/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PHILIP J MILTON &amp; COMPANY PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Joy Street Barnstaple</td>
</tr>
<tr>
<td>City:</td>
<td>Ex31 1he - Devon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099818 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1996</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) **Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7099818 of 09/11/2007)**

2) **Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099818 of 09/11/2007)**

3) **Investment advice (Notification 7099818 of 09/11/2007)**

4) **Execution of orders on behalf of clients (Notification 7099818 of 09/11/2007)**

5) **Portfolio management (Notification 7099818 of 09/11/2007)**

6) **Reception and transmission of orders in relation to one or more financial instruments (Notification 7099818 of 09/11/2007)**

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PHILIP T. ENGLISH INTERNATIONAL FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Appletree Road Chipping Warden Oxfordshire</td>
</tr>
<tr>
<td>City:</td>
<td>Ox17 1ln - Banbury</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099818 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2011</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7099818 of 09/11/2007)
2) Investment advice (Notification 7099818 of 09/11/2007)
3) Execution of orders on behalf of clients (Notification 7099818 of 09/11/2007)
4) Portfolio management (Notification 7099818 of 09/11/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099818 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PHILLIPCAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Candlewick House 120 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6as - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 21614 of 20/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>991</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 21614 of 20/03/2000)
2) Execution of orders on behalf of clients (Notification 21614 of 20/03/2000)
3) Portfolio management (Notification 21614 of 20/03/2000)
4) Dealing on own account (Notification 21614 of 20/03/2000)
5) 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 (Notification 70406 of 25/09/2000)
6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 70406 of 25/09/2000)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 70406 of 25/09/2000)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PI FINANCIAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Belle Vue Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sy3 7lu - Shrewsbury</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099637 of 08/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2015</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099637 of 08/11/2007)

2) Investment advice (Notification 7099637 of 08/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PICTET ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Moor House, 120 London Wall</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6056077 of 30/06/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1693</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6056077 of 30/06/2006)
2) Investment advice (Notification 6056077 of 30/06/2006)
3) Execution of orders on behalf of clients (Notification 6056077 of 30/06/2006)
4) Portfolio management (Notification 6056077 of 30/06/2006)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6056077 of 30/06/2006)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PICTET GLOBAL MARKETS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5 Stratton Street Stratton House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98053297 of 26/06/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>711</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0099810/17 of 16/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 98053297 of 26/06/1998)
4) Investment advice (Notification 98053297 of 26/06/1998)
5) Execution of orders on behalf of clients (Notification 98053297 of 26/06/1998)
6) Portfolio management (Notification 98053297 of 26/06/1998)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 98053297 of 26/06/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PILLING & CO STOCKBROKERS LTD

Registered office: Henry Pilling House 29 Booth Street

City: M24af - Londra

Country: Regno Unito

Notification of Registration: n. 0041330/16 of 06/05/2016

Registration no.: 4378

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0041330/16 of 06/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0041330/16 of 06/05/2016)

3) Investment advice (Notification 0041330/16 of 06/05/2016)

4) Execution of orders on behalf of clients (Notification 0041330/16 of 06/05/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PIMCO DEUTSCHLAND GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Seidlstrasse 24-24a</td>
</tr>
<tr>
<td>City:</td>
<td>80335 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12011764 of 17/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3359</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12011764 of 17/02/2012)
2) Execution of orders on behalf of clients (Notification 12011764 of 17/02/2012)
3) Portfolio management (Notification 12011764 of 17/02/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12011764 of 17/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PIMCO EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Baker Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 3ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>377</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Execution of orders on behalf of clients (Notification 8020776 of 07/03/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8020776 of 07/03/2008)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Portfolio management (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PINE RIVER CAPITAL PARTNERS (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Cavendish Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11010039 of 14/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3074</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11010039 of 14/02/2011)

2) Investment advice (Notification 11010039 of 14/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PINEBRIDGE INVESTMENTS DEUTSCHALND GMBH**

Registered office: Maximilianstrasse 13

City: 80539 - Monaco

Country: Germania

Notification of Registration: n. 0156725/19 of 22/03/2019

Registration no.: 4982

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0156725/19 of 22/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PINEBRIDGE INVESTMENTS EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6th Floor, Exchequer Court 33 St Mary Axe</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 8aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 73847/13 of 11/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3805</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 73847/13 of 11/09/2013)
2. Services related to underwriting (Notification 73847/13 of 11/09/2013)
3. Foreign exchange services where these are connected to the provision of investment services (Notification 73847/13 of 11/09/2013)
4. Placing of financial instruments without a firm commitment basis (Notification 73847/13 of 11/09/2013)
5. Investment advice (Notification 73847/13 of 11/09/2013)
8. Reception and transmission of orders in relation to one or more financial instruments (Notification 73847/13 of 11/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PIONEER POINT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 D’Arblay Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 8dr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9076232 of 19/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2658</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9076232 of 19/08/2009)
2) Reception and transmission of orders in relation to one or more financial instruments
   (Notification 9076232 of 19/08/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PIPER JAFFRAY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Phoenix House 18 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 7us - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1080942 of 25/10/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1191</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1080942 of 25/10/2001)

2) Investment advice (Notification 1080942 of 25/10/2001)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1080942 of 25/10/2001)

4) Services related to underwriting (Notification 5067190 of 12/10/2005)

5) Placing of financial instruments without a firm commitment basis (Notification 5067190 of 12/10/2005)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>PIRAEUS SECURITIES S.A.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Stadiou 10</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>10564 - Atene</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Grecia</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 2004196 of 23/01/2002</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1225</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 2004196 of 23/01/2002)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2004196 of 23/01/2002)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2004196 of 23/01/2002)

4) Execution of orders on behalf of clients (Notification 2004196 of 23/01/2002)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 2004196 of 23/01/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PJT PARTNERS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fifth Floor One Curzon Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5 Hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084245/15 of 30/10/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4255</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0084245/15 of 30/10/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084245/15 of 30/10/2015)

3) Investment advice (Notification 0084245/15 of 30/10/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084245/15 of 30/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PLATFORM ONE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Cedar Park, Cobham Road, Cedar House</td>
</tr>
<tr>
<td>City:</td>
<td>Bh21 7sb - Dorset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11065141 of 22/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3203</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11065141 of 22/07/2011)

2) Execution of orders on behalf of clients (Notification 11065141 of 22/07/2011)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065141 of 22/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PLURIMI WEALTH LLP

Registered office: Trafalgar House 11-12 Waterloo Place

City: Sw1y 4au - Londra

Country: Regno Unito

Notification of Registration: n. 0068647/14 of 14/08/2014

Registration no.: 4015

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068647/14 of 14/08/2014)
2) Investment advice (Notification 0068647/14 of 14/08/2014)
3) Execution of orders on behalf of clients (Notification 0068647/14 of 14/08/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068647/14 of 14/08/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PLUS500CY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Siafi Street,Business Suites 1 - 4 Office 104</td>
</tr>
<tr>
<td>City:</td>
<td>3042 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0095903/14 of 12/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4161</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0095903/14 of 12/12/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0095903/14 of 12/12/2014)

3) Execution of orders on behalf of clients (Notification 0095903/14 of 12/12/2014)

4) Dealing on own account (Notification 0095903/14 of 12/12/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095903/14 of 12/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PLUS500UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>45 Moorfields</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10062415 of 14/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2912</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 10062415 of 14/07/2010)
2) Dealing on own account (Notification 10062415 of 14/07/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10062415 of 14/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PMB CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 St. James’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1le - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072399/16 of 03/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4442</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0072399/16 of 03/08/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072399/16 of 03/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PMT MATRIX CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>90 Griva Digeni</td>
</tr>
<tr>
<td>City:</td>
<td>3101 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049908/14 of 13/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3978</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0049908/14 of 13/06/2014)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0486775/19 of 19/08/2019)
3) Investment advice (Notification 0486775/19 of 19/08/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>POHJOLA CORPORATE FINANCE OY (POHJOLA CORPORATE FINANCE LTD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Teollisuukatu 1b</td>
</tr>
<tr>
<td>City:</td>
<td>00510 - Helsinki</td>
</tr>
<tr>
<td>Country:</td>
<td>Finlandia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10090458 of 02/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3004</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10090458 of 02/11/2010)

2) Placing of financial instruments without a firm commitment basis (Notification 10090458 of 02/11/2010)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10090458 of 02/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

*DATE 10/01/2020*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>POLICY SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>East Gateway, Beancross Road</td>
</tr>
<tr>
<td>City:</td>
<td>Fk3 8wh - Stirling</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025087/15 of 01/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4145</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0025087/15 of 01/04/2015)
2. Investment advice (Notification 0025087/15 of 01/04/2015)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0025087/15 of 01/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PORTFOLIOMETRIX ASSET MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Camomile Court</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e6dx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081541/14 of 14/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4046</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0081541/14 of 14/10/2014)
2) Portfolio management (Notification 0081541/14 of 14/10/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081541/14 of 14/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PORTZAMPARC SOCIETE' DE BOURSE

Registered office: 13 Rue De La Brasserie

City: 44100 - Nantes

Country: Francia

Notification of Registration: n. 0142024/18 of 08/05/2018

Registration no.: 4822

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0142024/18 of 08/05/2018)
2) Investment advice (Notification 0142024/18 of 08/05/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0142024/18 of 08/05/2018)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: POSCO CAPITAL PARTNERS PLC

Registered office: 79 College Road

City: Ha1 1bd - Londra

Country: Regno Unito

Notification of Registration: n. 0047531/17 of 12/04/2017

Registration no.: 4590

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0047531/17 of 12/04/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0047531/17 of 12/04/2017)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0047531/17 of 12/04/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0047531/17 of 12/04/2017)

5) Placing of financial instruments without a firm commitment basis (Notification 0047531/17 of 12/04/2017)

6) Investment advice (Notification 0047531/17 of 12/04/2017)

7) Execution of orders on behalf of clients (Notification 0047531/17 of 12/04/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0047531/17 of 12/04/2017)

9) Dealing on own account (Notification 0099814/17 of 16/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>POYRY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Portland House, Bressenden Place,</td>
</tr>
<tr>
<td>City:</td>
<td>W1s3nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99048223 of 17/06/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>800</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0132843/19 of 11/03/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Investment advice (Notification 99048223 of 17/06/1999)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99048223 of 17/06/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PP CAPITAL ASSET MANAGEMENT FONDSMAEGLERSELSKAB A/S

Registered office: Ny Ostergade 7

City: 1101 - Kobenhavn

Country: Danimarca

Notification of Registration: n. 0070926/13 of 28/08/2013

Registration no.: 3792

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0070926/13 of 28/08/2013)
2) Execution of orders on behalf of clients (Notification 0070926/13 of 28/08/2013)
3) Portfolio management (Notification 0070926/13 of 28/08/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070926/13 of 28/08/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PPSA (EUROPE) INVESTMENT CONSULTING - SOCIEDADE DE CONSULTORIA PARA INVESTIMENTO, UNIPESSOAL LDA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rua Barata Salgueiro 30</td>
</tr>
<tr>
<td>City:</td>
<td>1269 - Lisbona</td>
</tr>
<tr>
<td>Country:</td>
<td>Portogallo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0138888/17 of 21/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4734</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0138888/17 of 21/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRAEFINIUM PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>84 Brook Street Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1064319 of 21/08/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1163</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 1064319 of 21/08/2001)
2) Portfolio management (Notification 1064319 of 21/08/2001)
3) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 1064319 of 21/08/2001)
4) Investment research and financial analysis or other forms of general recommendation  
   relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PRESTACAP LTD

Registered office: C / O Wework 8 Devonshire Square

City: Ec2m 4pl - Londra

Country: Regno Unito

Notification of Registration: n. 0033363/16 of 14/04/2016

Registration no.: 4358

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0033363/16 of 14/04/2016)

2) Services related to underwriting (Notification 0033363/16 of 14/04/2016)

3) Placing of financial instruments without a firm commitment basis (Notification 0033363/16 of 14/04/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033363/16 of 14/04/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRESTIGE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36spital Square</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6dy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8107032 of 25/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2474</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8107032 of 25/11/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8107032 of 25/11/2008)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 8107032 of 25/11/2008)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8107032 of 25/11/2008)

5) Investment advice (Notification 8107032 of 25/11/2008)

6) Execution of orders on behalf of clients (Notification 8107032 of 25/11/2008)

7) Portfolio management (Notification 8107032 of 25/11/2008)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 8107032 of 25/11/2008)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRICE MARKETS UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444568/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5062</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0444568/19 of 30/07/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0444568/19 of 30/07/2019)

3) Execution of orders on behalf of clients (Notification 0444568/19 of 30/07/2019)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0444568/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRICEWATERHOUSECOOPERS INVESTMENT SERVICES (CYPRUS) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Demostheni Severi Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Cy-1080 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065073 of 09/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4785</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0065073 of 09/03/2018)
2) Portfolio management (Notification 0065073 of 09/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRICOA CAPITAL GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 London Bridge</td>
</tr>
<tr>
<td>City:</td>
<td>Se1 9bg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10041733 of 07/05/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2854</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10041733 of 07/05/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10041733 of 07/05/2010)
3) Services related to underwriting (Notification 10041733 of 07/05/2010)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 10041733 of 07/05/2010)
5) Placing of financial instruments without a firm commitment basis (Notification 10041733 of 07/05/2010)
6) Investment advice (Notification 10041733 of 07/05/2010)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10041733 of 07/05/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **PRIMUS CAPITAL LIMITED**

Registered office: Third Floor Lansdowne House 57 Berkeley Square

City: W1j 6er - Londra

Country: Regno Unito

Notification of Registration: n. 0036982/18 of 14/02/2018

Registration no.: 4773

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0036982/18 of 14/02/2018)

2) Investment advice (Notification 0036982/18 of 14/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRIMUS GLOBAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25, Kolonakiou Avenue - Zavos Kolonakiou Suite 102</td>
</tr>
<tr>
<td>City:</td>
<td>4103 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040968/15 of 21/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4168</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0040968/15 of 21/05/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0040968/15 of 21/05/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0040968/15 of 21/05/2015)

4) Execution of orders on behalf of clients (Notification 0040968/15 of 21/05/2015)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099176/19 of 22/02/2019)

6) Dealing on own account (Notification 0099176/19 of 22/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRINCIPAL GLOBAL INVESTORS (EU) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 302 Sobo Works 2 Windmill Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105503/19 of 26/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4959</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0105503/19 of 26/02/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0105503/19 of 26/02/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0105503/19 of 26/02/2019)

4) Investment advice (Notification 0105503/19 of 26/02/2019)

5) Portfolio management (Notification 0105503/19 of 26/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGIESTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRINCIPAL GLOBAL INVESTORS (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12237 of 17/02/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>977</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12237 of 17/02/2000)
2) Execution of orders on behalf of clients (Notification 12237 of 17/02/2000)
3) Portfolio management (Notification 12237 of 17/02/2000)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12237 of 17/02/2000)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRINCIPAL VERMOGENSVERWALTUNG AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Austrasse 9</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9097609 of 20/11/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2729</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9097609 of 20/11/2009)
2) Investment advice (Notification 9097609 of 20/11/2009)
3) Portfolio management (Notification 9097609 of 20/11/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9097609 of 20/11/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PRIOR CAPITAL CY LTD

Registered office: 196 Arch. Makariou iii Avenue - Ariel Corner

City: 3030 - Limassol

Country: Cipro

Notification of Registration: n. 0022286/14 of 24/03/2014

Registration no.: 3933

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0022286/14 of 24/03/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0022286/14 of 24/03/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0022286/14 of 24/03/2014)

4) Execution of orders on behalf of clients (Notification 0022286/14 of 24/03/2014)

5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0370567/19 of 26/06/2019)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0370567/19 of 26/06/2019)

7) Investment advice (Notification 0370567/19 of 26/06/2019)

8) Portfolio management (Notification 0370567/19 of 26/06/2019)

9) Dealing on own account (Notification 0370567/19 of 26/06/2019)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0370567/19 of 26/06/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRISM FINANCIAL PRODUCTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Grove, 248a Marylebone Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Nw16jz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015155/14 of 25/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3914</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0015155/14 of 25/02/2014)
2) Investment advice (Notification 0015155/14 of 25/02/2014)
3) Execution of orders on behalf of clients (Notification 0015155/14 of 25/02/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015155/14 of 25/02/2014)
5) Dealing on own account (Notification 0099830/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRITCHARD STOCKBROKERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Submitted to the special administration procedure by the English authority</td>
</tr>
<tr>
<td>Registered office:</td>
<td>Roddis House Old Christchurch Road</td>
</tr>
<tr>
<td>City:</td>
<td>Bh1 1lg - Bournemouth</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>153</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0101555/17 of 24/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
6) Portfolio management (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRITLE N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Danzigerkade 23c</td>
</tr>
<tr>
<td>City:</td>
<td>1013 Ap - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090335/15 of 24/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4273</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0090335/15 of 24/11/2015)
2) Investment advice (Notification 0090335/15 of 24/11/2015)
3) Execution of orders on behalf of clients (Notification 0090335/15 of 24/11/2015)
4) Portfolio management (Notification 0090335/15 of 24/11/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090335/15 of 24/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PRIVALUX MANAGEMENT S.A.

Registered office: Boulevard Prince Henri 43

City: L-1724 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 7094655 of 23/10/2007

Registration no.: 1875

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7094655 of 23/10/2007)

2) Investment advice (Notification 7094655 of 23/10/2007)

3) Execution of orders on behalf of clients (Notification 7094655 of 23/10/2007)

4) Portfolio management (Notification 7094655 of 23/10/2007)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7094655 of 23/10/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRO BROKERAGE BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dam 27</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Js - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 18795 of 08/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>983</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Execution of orders on behalf of clients (Notification 18795 of 08/03/2000)
2. Portfolio management (Notification 18795 of 08/03/2000)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 18795 of 08/03/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PRO CAPITAL LTD

Registered office: The City Business Centre, 2 London Wall Buildings,

City: Ec2m 5pp - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 253

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96000620 of 03/01/1996)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PROCHOICE CHRIMATISTIRIAKI LTD

Registered office: 57 Spyrou Kyprianou

City: 6051 - Larnaca

Country: Cipro

Notification of Registration: n. 0135781/17 of 13/12/2017

Registration no.: 4725

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0135781/17 of 13/12/2017)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0135781/17 of 13/12/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0135781/17 of 13/12/2017)

4) Execution of orders on behalf of clients (Notification 0135781/17 of 13/12/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0135781/17 of 13/12/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROCORP ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fridtjof Nasens Plass 4</td>
</tr>
<tr>
<td>City:</td>
<td>0160 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 54755 of 18/07/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1032</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 54755 of 18/07/2000)

2) Services related to underwriting (Notification 54755 of 18/07/2000)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 54755 of 18/07/2000)

4) Placing of financial instruments without a firm commitment basis (Notification 54755 of 18/07/2000)

5) Investment advice (Notification 54755 of 18/07/2000)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 54755 of 18/07/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRODIGIT INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>19b, Aphrodite Street,</td>
</tr>
<tr>
<td>City:</td>
<td>1060 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0054508/14 of 30/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3986</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0054508/14 of 30/06/2014)

2) Execution of orders on behalf of clients (Notification 0054508/14 of 30/06/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054508/14 of 30/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PRODIGY FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Fouberts Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 7qf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083982/16 of 20/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4471</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083982/16 of 20/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PROFIN PARTNERS LIMITED

Registered office: 100 New Bond Street

City: W1s 1sp - Londra

Country: Regno Unito

Notification of Registration: n. 0614248/19 of 09/10/2019

Registration no.: 5115

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0614248/19 of 09/10/2019)
2) Execution of orders on behalf of clients (Notification 0614248/19 of 09/10/2019)
3) Portfolio management (Notification 0614248/19 of 09/10/2019)
4) Dealing on own account (Notification 0614248/19 of 09/10/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0614248/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>PROLOGIS PRIVATE CAPITAL UK LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Bond Street House 14 Clifford Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td><strong>W1s4ju - Londra</strong></td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td><strong>Regno Unito</strong></td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0081296/17 of 21/06/2017</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4623</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081296/17 of 21/06/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PROMETHEAN INVESTMENTS LLP

Registered office: 5-6 Argyll Street

City: W1f7te - Londra

Country: Regno Unito

Notification of Registration: n. 12071596 of 31/08/2012

Registration no.: 3501

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12071596 of 31/08/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12071596 of 31/08/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12071596 of 31/08/2012)

4) Investment advice (Notification 12071596 of 31/08/2012)

5) Execution of orders on behalf of clients (Notification 12071596 of 31/08/2012)

6) Portfolio management (Notification 12071596 of 31/08/2012)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12071596 of 31/08/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROMETHEUS INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lansdowne House 57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0617567/19 of 10/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5125</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0617567/19 of 10/10/2019)
2) Investment advice (Notification 0617567/19 of 10/10/2019)
3) Execution of orders on behalf of clients (Notification 0617567/19 of 10/10/2019)
4) Portfolio management (Notification 0617567/19 of 10/10/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0617567/19 of 10/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>PROMETHION LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>23 Austin Friars</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec2n 2qp - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 9083026 of 22/09/2009</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2676</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9083026 of 22/09/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9083026 of 22/09/2009)

3) Investment advice (Notification 9083026 of 22/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROREALTIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Avenue Edouard Belin - 92500 Rueil-Malmaison</td>
</tr>
<tr>
<td>City:</td>
<td>92500 - Rueil-Malmaison</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12080122 of 09/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3521</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12080122 of 09/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PROSDOCIMI LIMITED

Registered office: 1 Knightsbridge Green

City: Sw1x 7qa - Londra

Country: Regno Unito

Notification of Registration: n. 9089340 of 20/10/2009

Registration no.: 2701

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0098272/17 of 08/08/2017)
2) Investment advice (Notification 9089340 of 20/10/2009)
3) Execution of orders on behalf of clients (Notification 9089340 of 20/10/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9089340 of 20/10/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Service Provided in Italy</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1)</td>
<td>Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11018146 of 10/03/2011)</td>
</tr>
<tr>
<td>2)</td>
<td>Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11018146 of 10/03/2011)</td>
</tr>
<tr>
<td>3)</td>
<td>Investment advice (Notification 11018146 of 10/03/2011)</td>
</tr>
<tr>
<td>4)</td>
<td>Reception and transmission of orders in relation to one or more financial instruments (Notification 11018146 of 10/03/2011)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROSPERGATE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filiou Zannetou 2</td>
</tr>
<tr>
<td>City:</td>
<td>3021 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0536348/18 of 19/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4912</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0536348/18 of 19/12/2018)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROSPERISE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Floor 3 150 Brompton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1hx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0388962/19 of 04/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5048</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0388962/19 of 04/07/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0388962/19 of 04/07/2019)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0388962/19 of 04/07/2019)
4) Investment advice (Notification 0388962/19 of 04/07/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0388962/19 of 04/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROSPERITY CAPITAL MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Soho Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1d 3qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4066631 of 14/07/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1456</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4066631 of 14/07/2004)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 4066631 of 14/07/2004)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROTEAN CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 New Oxford Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1a 1bl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087954/13 of 08/11/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3849</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0087954/13 of 08/11/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087954/13 of 08/11/2013)
3) Investment advice (Notification 0087954/13 of 08/11/2013)
4) Execution of orders on behalf of clients (Notification 0087954/13 of 08/11/2013)
5) Portfolio management (Notification 0087954/13 of 08/11/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087954/13 of 08/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROTON SECURITIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22, Lagoumitzi Str.</td>
</tr>
<tr>
<td>City:</td>
<td>17671 - Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2067516 of 16/10/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1312</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 2067516 of 16/10/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2067516 of 16/10/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROVERUM FONDKOMMISSION AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Stortorget 9</td>
</tr>
<tr>
<td>City:</td>
<td>211 22 - Malmo</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3043041 of 26/06/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1384</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3043041 of 26/06/2003)
2) Portfolio management (Notification 3043041 of 26/06/2003)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROVIDENCE CAPITAL N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Meerweg 7,</td>
</tr>
<tr>
<td>City:</td>
<td>1405 Ba - Bussum</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101810/16 of 15/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4505</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0101810/16 of 15/11/2016)
2) Portfolio management (Notification 0101810/16 of 15/11/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101810/16 of 15/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PROVIDENCE EQUITY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 St George Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2fa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8015604 of 21/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2226</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8015604 of 21/02/2008)
2) Investment advice (Notification 8015604 of 21/02/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8015604 of 21/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PROVIDENTIA CAPITAL LLP

Registered office: Berkeley Square House

City: W1j 6bd - Londra

Country: Regno Unito

Notification of Registration: n. 0087971/13 of 08/11/2013

Registration no.: 3852

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0087971/13 of 08/11/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087971/13 of 08/11/2013)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0087971/13 of 08/11/2013)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0087971/13 of 08/11/2013)
5) Investment advice (Notification 0087971/13 of 08/11/2013)
6) Execution of orders on behalf of clients (Notification 0087971/13 of 08/11/2013)
7) Portfolio management (Notification 0087971/13 of 08/11/2013)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087971/13 of 08/11/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>PROVISIO LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Broadway Letchworth Garden City</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sg6 9bn - Hertfordshire</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 8090692 of 01/10/2008</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2431</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8090692 of 01/10/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8090692 of 01/10/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: PSM VERMOGENSVERWALTUNG GMBH

Registered office: Hochleite 2

City: 81545 - Monaco

Country: Germania

Notification of Registration: n. 5076976 of 21/11/2005

Registration no.: 1593

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5076976 of 21/11/2005)
2) Portfolio management (Notification 5076976 of 21/11/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PUTNAM INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cassini House 57-59 St James' S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ld - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>390</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8000576 of 03/01/2008)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 8000576 of 03/01/2008)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98045591 of 03/06/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PVM OIL FUTURES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Verde Building 10 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075188/16 of 12/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4453</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075188/16 of 12/08/2016)
2) Investment advice (Notification 0075188/16 of 12/08/2016)
3) Execution of orders on behalf of clients (Notification 0075188/16 of 12/08/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075188/16 of 12/08/2016)
5) Operation of an OTF (Notification 0140867/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>PYRFORD INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>95 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1uihh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12042467 of 21/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3424</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12042467 of 21/05/2012)
2) Portfolio management (Notification 12042467 of 21/05/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Q 1 CAPITAL MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Weihburggasse 14/17</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5051312 of 21/07/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1577</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 5051312 of 21/07/2005)
2) Portfolio management (Notification 5051312 of 21/07/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5051312 of 21/07/2005)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: QATALYST PARTNERS LIMITED

Registered office: 14 Clifford Street

City: W1s 4ju - Londra

Country: Regno Unito

Notification of Registration: n. 10058199 of 28/06/2010

Registration no.: 2895

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10058199 of 28/06/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10058199 of 28/06/2010)

3) Investment advice (Notification 10058199 of 28/06/2010)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10058199 of 28/06/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QBASIS INVEST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bruckenkopfgasse 1/5</td>
</tr>
<tr>
<td>City:</td>
<td>8020 - Graz</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096753/14 of 17/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4075</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0096753/14 of 17/12/2014)
2) Portfolio management (Notification 0096753/14 of 17/12/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096753/14 of 17/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: QUADRA CAPITAL PARTNERS LLP

Registered office: 32 Grosvenor Gardens

City: Sw1w 0dh - Londra

Country: Regno Unito

Notification of Registration: n. 0042105/16 of 09/05/2016

Registration no.: 4380

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0042105/16 of 09/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0042105/16 of 09/05/2016)

3) Investment advice (Notification 0042105/16 of 09/05/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0042105/16 of 09/05/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUAERO CAPITAL (LUXEMBOURG) SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Rue De L’ Eau</td>
</tr>
<tr>
<td>City:</td>
<td>L1449 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0248365/19 of 07/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5029</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0248365/19 of 07/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUALION FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Rue De Neudorf</td>
</tr>
<tr>
<td>City:</td>
<td>L 2220 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13019298 of 08/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3652</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13019298 of 08/03/2013)
2) Execution of orders on behalf of clients (Notification 13019298 of 08/03/2013)
3) Portfolio management (Notification 13019298 of 08/03/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13019298 of 08/03/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUALITY CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 The Heights</td>
</tr>
<tr>
<td>City:</td>
<td>Kt130ny - Weybridge</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10064104 of 21/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2920</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10064104 of 21/07/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10064104 of 21/07/2010)

3) Investment advice (Notification 10064104 of 21/07/2010)

4) Portfolio management (Notification 10064104 of 21/07/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10064104 of 21/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUANTESSENCE FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 5sb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102235/18 of 09/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4807</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0102235/18 of 09/04/2018)
2) Execution of orders on behalf of clients (Notification 0102235/18 of 09/04/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102235/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>QUANTYX LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0040851/16 of 05/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4429</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0040851/16 of 05/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0108503/17 of 20/09/2017)

3) Investment advice (Notification 0108503/17 of 20/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: QUAY FINANCIALS (GIBRALTAR) LTD

Registered office: 11-12 Queensway Ragged Staff Wharf

City: Gibraltar

Country: Gibraltar

Notification of Registration: n. 8075246 of 06/08/2008

Registration no.: 2381

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8075246 of 06/08/2008)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 8075246 of 06/08/2008)

3) Investment advice (Notification 8075246 of 06/08/2008)

4) Execution of orders on behalf of clients (Notification 8075246 of 06/08/2008)

5) Portfolio management (Notification 8075246 of 06/08/2008)

6) Dealing on own account (Notification 8075246 of 06/08/2008)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 8075246 of 06/08/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUEEN STREET FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Aldermary House 15 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 1tx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>522</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2. Services related to underwriting (Notification 96059817 of 15/07/1996)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: QUEENS GATE CAPITAL ADVISORS LIMITED

Registered office: 48 Queen'S Gate Flat 8

City: Sw75jn - Londra

Country: Regno Unito

Notification of Registration: n. 0001122/16 of 08/01/2016

Registration no.: 4298

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0001122/16 of 08/01/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0001122/16 of 08/01/2016)

3) Services related to underwriting (Notification 0001122/16 of 08/01/2016)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0001122/16 of 08/01/2016)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0001122/16 of 08/01/2016)

6) Investment advice (Notification 0001122/16 of 08/01/2016)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0001122/16 of 08/01/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUERCUS INVESTMENT PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Albemarle Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4hh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045120/15 of 04/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4184</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0045120/15 of 04/06/2015)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0045120/15 of 04/06/2015)

3) Investment advice (Notification 0045120/15 of 04/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUEST FUND PLACEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor Egyptian House 170 Piccadilly</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 9ej - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070061/16 of 28/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4435</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0070061/16 of 28/07/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070061/16 of 28/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUILTER CHEVIOT EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Hambleden House 19 - 26 Lower Pembroke Street</td>
</tr>
<tr>
<td>City:</td>
<td>D02wv96 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0556637/19 of 17/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5082</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0556637/19 of 17/09/2019)
2) Portfolio management (Notification 0556637/19 of 17/09/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0556637/19 of 17/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>QUILTER CHEVIOT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Kingsway</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2b 6an - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>257</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 13042761 of 16/05/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

5) Investment advice (Notification 96000620 of 03/01/1996)

6) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

7) Portfolio management (Notification 96000620 of 03/01/1996)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>QUINBROOK INFRASTRUCTURE PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>53/54 Grosvenor Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>W1k 3hu - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>5109</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0606228/19 of 07/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: R CAPITAL SOLUTIONS LTD

Registered office: 28 Ayias Zonis, Christophides House, Office 201

City: 3027 - Limassol

Country: Cipro

Notification of Registration: n. 0080849/14 of 13/10/2014

Registration no.: 4110

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0080849/14 of 13/10/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0080849/14 of 13/10/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0080849/14 of 13/10/2014)

4) Execution of orders on behalf of clients (Notification 0080849/14 of 13/10/2014)

5) Portfolio management (Notification 0080849/14 of 13/10/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0080849/14 of 13/10/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RABO OLSEN OVERLAY STRATEGIES B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Croeselaan 18</td>
</tr>
<tr>
<td>City:</td>
<td>3521 - B - Utrecht</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98001497 of 12/01/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>676</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 98001497 of 12/01/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAGNAR CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 St. Michaels Alley</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v9ds - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0046990/16 of 20/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4389</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0046990/16 of 20/05/2016)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0046990/16 of 20/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAFFEISEN VERMOGENSVERWALTUNGSGESELLSCHAFT M.B.H</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Am Stadtpsrk 9</td>
</tr>
<tr>
<td>City:</td>
<td>A-1030 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99043455 of 31/05/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>790</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99043455 of 31/05/1999)
2) Portfolio management (Notification 99043455 of 31/05/1999)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99043455 of 31/05/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RALSTON BENNETT FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Shore Road Holywood</td>
</tr>
<tr>
<td>City:</td>
<td>Bt18 9hx - County Down</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8037490 of 22/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2291</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8037490 of 22/04/2008)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8037490 of 22/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Register of EU Investment Firms: Without Branches

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAM FOREIGN EXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Greville Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1n 8sb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005498/14 of 23/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3896</td>
</tr>
</tbody>
</table>

### Services Provided in Italy

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0005498/14 of 23/01/2014)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 0005498/14 of 23/01/2014)
3. Investment advice (Notification 0005498/14 of 23/01/2014)
4. Execution of orders on behalf of clients (Notification 0005498/14 of 23/01/2014)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 0005498/14 of 23/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAMEK ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15-17 Eldon Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m7ld - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0078801/14 of 06/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4042</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0078801/14 of 06/10/2014)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0078801/14 of 06/10/2014)

3) Investment advice (Notification 0078801/14 of 06/10/2014)

4) Execution of orders on behalf of clients (Notification 0078801/14 of 06/10/2014)

5) Portfolio management (Notification 0078801/14 of 06/10/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0078801/14 of 06/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAMIUS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Schottenring 12</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5016054 of 15/03/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1528</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment advice (Notification 5016054 of 15/03/2005)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 5016054 of 15/03/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RANMORE FUND MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Coveham House Downside Bridge</td>
</tr>
<tr>
<td>City:</td>
<td>Kt11 3ep - Cobham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9086121 of 06/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2691</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9086121 of 06/10/2009)

2) Investment advice (Notification 9086121 of 06/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: RAUSCHER & KIND VERMOGENSBETREUUNG GMBH

Registered office: Carl-Orff-Str. 28

City: 83024 - Rosenheim

Country: Germania

Notification of Registration: n. 0061008/15 of 28/07/2015

Registration no.: 4216

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0061008/15 of 28/07/2015)
2) Execution of orders on behalf of clients (Notification 0061008/15 of 28/07/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0061008/15 of 28/07/2015)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: RAYMOND JAMES EURO EQUITIES

Registered office: 40 Rue La Boetie

City: 75008 - Parigi

Country: Francia

Notification of Registration: n. 9100392 of 01/12/2009

Registration no.: 2732

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9100392 of 01/12/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9100392 of 01/12/2009)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>RAYMOND JAMES FINANCIAL INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Broadwalk House 5 Appold Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec2a 2ag - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 98095978 of 16/12/1998</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>748</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0018309/17 of 08/02/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0071587/19 of 11/02/2019)
3) Dealing on own account (Notification 0097927/17 of 07/08/2017)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 13041182 of 14/05/2013)
5) Placing of financial instruments without a firm commitment basis (Notification 13041182 of 14/05/2013)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
7) Execution of orders on behalf of clients (Notification 9041245 of 05/05/2009)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 98095978 of 16/12/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAYMOND JAMES INVESTMENT SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>77 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099147 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1972</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7099147 of 07/11/2007)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 7099147 of 07/11/2007)

3) Investment advice (Notification 7099147 of 07/11/2007)

4) Execution of orders on behalf of clients (Notification 7099147 of 07/11/2007)

5) Portfolio management (Notification 7099147 of 07/11/2007)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099147 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RAZLIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>536 Lea Bridge Road,</td>
</tr>
<tr>
<td>City:</td>
<td>E107dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0125030/17 of 08/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4708</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0125030/17 of 08/11/2017)
2) Investment advice (Notification 0125030/17 of 08/11/2017)
3) Execution of orders on behalf of clients (Notification 0125030/17 of 08/11/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0125030/17 of 08/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0043190/19 of 28/01/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0043190/19 of 28/01/2019)
3) Services related to underwriting (Notification 0043190/19 of 28/01/2019)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0043190/19 of 28/01/2019)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0043190/19 of 28/01/2019)
6) Placing of financial instruments without a firm commitment basis (Notification 0043190/19 of 28/01/2019)
7) Investment advice (Notification 0043190/19 of 28/01/2019)
8) Execution of orders on behalf of clients (Notification 0043190/19 of 28/01/2019)
9) Dealing on own account (Notification 0043190/19 of 28/01/2019)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043190/19 of 28/01/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RBC GLOBAL ASSET MANAGEMENT (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Riverbank House, 2 Swan Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 3bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99029913 of 20/04/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>775</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0253520/19 of 09/05/2019)
2) Execution of orders on behalf of clients (Notification 99029913 of 20/04/1999)
3) Portfolio management (Notification 99029913 of 20/04/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99029913 of 20/04/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REAL ASSET PARTNERS LONDON LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Hill Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5lw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0114974/17 of 10/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4693</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0114974/17 of 10/10/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0114974/17 of 10/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RECORD CURRENCY MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Morgan House Madeira Walk Windsor</td>
</tr>
<tr>
<td>City:</td>
<td>Sl4 1ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>538</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9047370 of 20/05/2009)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 9047370 of 20/05/2009)
3) Investment advice (Notification 9047370 of 20/05/2009)
4) Portfolio management (Notification 9047370 of 20/05/2009)
5) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>REDBURN (EUROPE) LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Aldermanbury</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7rf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0035331/14 of 29/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3952</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0035331/14 of 29/04/2014)
2) Investment advice (Notification 0035331/14 of 29/04/2014)
3) Execution of orders on behalf of clients (Notification 0035331/14 of 29/04/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0035331/14 of 29/04/2014)
5) Dealing on own account (Notification 0100388/17 of 18/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REDDING RIDGE ASSET MANAGEMENT (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 St. George Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1fs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0142015/18 of 08/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4820</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0142015/18 of 08/05/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0142015/18 of 08/05/2018)

3) Services related to underwriting (Notification 0142015/18 of 08/05/2018)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0142015/18 of 08/05/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0142015/18 of 08/05/2018)

6) Placing of financial instruments without a firm commitment basis (Notification 0142015/18 of 08/05/2018)

7) Investment advice (Notification 0142015/18 of 08/05/2018)

8) Execution of orders on behalf of clients (Notification 0142015/18 of 08/05/2018)

9) Portfolio management (Notification 0142015/18 of 08/05/2018)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0142015/18 of 08/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REDE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>110 Park Street 3rd Floor</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6nx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11069133 of 03/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3226</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11069133 of 03/08/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11069133 of 03/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REDHEDGE ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>169 Piccadilly 3rd Floor, Dudley House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 9eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045107/15 of 04/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4187</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0045107/15 of 04/06/2015)
2) Execution of orders on behalf of clients (Notification 0045107/15 of 04/06/2015)
3) Portfolio management (Notification 0045107/15 of 04/06/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0045107/15 of 04/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REDINGTON LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>First Floor Austin Friars House - Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9061420 of 02/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2620</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9061420 of 02/07/2009)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9061420 of 02/07/2009)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9061420 of 02/07/2009)
4) Investment advice (Notification 9061420 of 02/07/2009)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9061420 of 02/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REDMAYNE-BENTLEY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Bond Court</td>
</tr>
<tr>
<td>City:</td>
<td>Ls12jz - Leeds</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9088597 of 16/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2700</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0100396/17 of 18/08/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9088597 of 16/10/2009)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9088597 of 16/10/2009)
4) Investment advice (Notification 9088597 of 16/10/2009)
5) Execution of orders on behalf of clients (Notification 9088597 of 16/10/2009)
6) Portfolio management (Notification 9088597 of 16/10/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9088597 of 16/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## Investment Firm

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REFINITIV TRANSACTION SERVICES LIMITED</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>The Thomson Reuters Building 30 South Colonnade,</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>E14 5ep - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3057555 of 11/09/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1385</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Foreign exchange services where these are connected to the provision of investment services (Notification 3057555 of 11/09/2003)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 3057555 of 11/09/2003)
3. Operation of an MTF (Notification 7092582 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: RELIANTCO INVESTMENTS LTD

Registered office: 139 Makarios III Avenue, Zavos Business Center

City: 3021 - Limassol

Country: Cipro

Notification of Registration: n. 11090537 of 09/11/2011

Registration no.: 3292

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11090537 of 09/11/2011)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 11090537 of 09/11/2011)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11090537 of 09/11/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RENAISSANCE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Angel Court Copthall Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4051120 of 26/05/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1448</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4051120 of 26/05/2004)
2) Execution of orders on behalf of clients (Notification 4051120 of 26/05/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4051120 of 26/05/2004)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RENAISSANCE SECURITIES (CYPRUS) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Pindarou Street</td>
</tr>
<tr>
<td>City:</td>
<td>1060 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5024123 of 12/04/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1537</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0139579/17 of 22/12/2017)

2) 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 (Notification 5024123 of 12/04/2005)

3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5024123 of 12/04/2005)

4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5024123 of 12/04/2005)

5) Services related to underwriting (Notification 5024123 of 12/04/2005)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 5024123 of 12/04/2005)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 5024123 of 12/04/2005)

8) Placing of financial instruments without a firm commitment basis (Notification 5024123 of 12/04/2005)

9) Execution of orders on behalf of clients (Notification 5024123 of 12/04/2005)

10) Dealing on own account (Notification 5024123 of 12/04/2005)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 5024123 of 12/04/2005)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RESOLUTION COMPLIANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12-16 Addiscombe Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cr00xt - Croydon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13018845 of 07/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3658</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 13018845 of 07/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
RESOLUTION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RESONANCEX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Coleherne Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw109bs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444567/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5063</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0444567/19 of 30/07/2019)
2) Execution of orders on behalf of clients (Notification 0444567/19 of 30/07/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0444567/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>RESULTS INTERNATIONAL GROUP LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27 Soho Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1d3ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0034424/17 of 17/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4580</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0034424/17 of 17/03/2017)

2) Investment advice (Notification 0034424/17 of 17/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RETIREMENT PLANNING ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>397 Hale End Road Woodford Green</td>
</tr>
<tr>
<td>City:</td>
<td>Ig8 9ll - Essex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8033402 of 10/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2275</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8033402 of 10/04/2008)
2) Investment advice (Notification 8033402 of 10/04/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8033402 of 10/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** REUSS PRIVATE EUROPE AG

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Austrasse 61</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>FL9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0056232/16 of 16/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4410</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0056232/16 of 16/06/2016)
2. Execution of orders on behalf of clients (Notification 0056232/16 of 16/06/2016)
3. Portfolio management (Notification 0056232/16 of 16/06/2016)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 0056232/16 of 16/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REVCAP ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>105 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 1qy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10058194 of 28/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2890</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10058194 of 28/06/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10058194 of 28/06/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10058194 of 28/06/2010)

4) Investment advice (Notification 10058194 of 28/06/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10058194 of 28/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: REYKER SECURITIES PLC

Registered office: 17 Moorgate

City: Ec2r 6ar - Londra

Country: Regno Unito

Notification of Registration: n. 12079441 of 05/10/2012

Registration no.: 3518

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12079441 of 05/10/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12079441 of 05/10/2012)

3) Investment advice (Notification 12079441 of 05/10/2012)

4) Execution of orders on behalf of clients (Notification 12079441 of 05/10/2012)

5) Portfolio management (Notification 12079441 of 05/10/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>REYL &amp; CO (UK) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Berkeley Square,</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071217/16 of 01/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4438</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0071217/16 of 01/08/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071217/16 of 01/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4072741 of 03/08/2004)

2) Investment advice (Notification 4072741 of 03/08/2004)

3) Execution of orders on behalf of clients (Notification 4072741 of 03/08/2004)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 4072741 of 03/08/2004)

5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RIA CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>152 Morrison Street</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 8eb - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10100552 of 07/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3028</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Dealing on own account (Notification 0099090/17 of 10/08/2017)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10100552 of 07/12/2010)
3. Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10100552 of 07/12/2010)
4. Foreign exchange services where these are connected to the provision of investment services (Notification 10100552 of 07/12/2010)
5. Investment advice (Notification 10100552 of 07/12/2010)
6. Execution of orders on behalf of clients (Notification 10100552 of 07/12/2010)
7. Reception and transmission of orders in relation to one or more financial instruments (Notification 10100552 of 07/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RICHARD ALEXANDER FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Road Goudhurst Cranbrook</td>
</tr>
<tr>
<td>City:</td>
<td>Tn17 1dy - Kent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0155847/19 of 22/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4979</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0155847/19 of 22/03/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0155847/19 of 22/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RICHMOND HOUSE WEALTH MANAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Premier House Argyle Way Stevenage</td>
</tr>
<tr>
<td>City:</td>
<td>Sg1 2ad - Hertfordshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0010644/15 of 13/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5072</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0010644/15 of 13/02/2015)
2) Investment advice (Notification 0010644/15 of 13/02/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0010644/15 of 13/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RICHMOND PARK PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Grosvenor Crescent 7ef</td>
</tr>
<tr>
<td>City:</td>
<td>SW1x - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7019847 of 07/03/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1765</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 7019847 of 07/03/2007)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 7019847 of 07/03/2007)
3. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RICKITT MITCHELL &amp; PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Clarence House, Clarence Street</td>
</tr>
<tr>
<td>City:</td>
<td>M2 4dw - Manchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>268</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Services related to underwriting (Notification 96000620 of 03/01/1996)
3) Investment advice (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RISKSAVE TECHNOLOGIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Regent House 40 Islington High Street</td>
</tr>
<tr>
<td>City:</td>
<td>N1 8eq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547760/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4923</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0547760/18 of 27/12/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0547760/18 of 27/12/2018)
3) Investment advice (Notification 0547760/18 of 27/12/2018)
4) Execution of orders on behalf of clients (Notification 0547760/18 of 27/12/2018)
5) Portfolio management (Notification 0547760/18 of 27/12/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547760/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RIVA CAPITAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087591/15 of 12/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4266</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087591/15 of 12/11/2015)

2) Investment advice (Notification 0087591/15 of 12/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RIVER AND MERCANTILE ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30, Coleman Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r5al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0372103/18 of 26/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4878</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0372103/18 of 26/09/2018)

2) Execution of orders on behalf of clients (Notification 0372103/18 of 26/09/2018)

3) Portfolio management (Notification 0372103/18 of 26/09/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0372103/18 of 26/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RIVER AND MERCANTILE INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Strand</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 5hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1020419 of 20/03/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1108</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1020419 of 20/03/2001)
2) Investment advice (Notification 1020419 of 20/03/2001)
3) Execution of orders on behalf of clients (Notification 1020419 of 20/03/2001)
4) Portfolio management (Notification 1020419 of 20/03/2001)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 1020419 of 20/03/2001)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **RIVERFIELD PARTNERS LLP**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>58-60 Kensington Church Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>W8 4db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005506/14 of 23/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3898</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0005506/14 of 23/01/2014)
2) Portfolio management (Notification 0005506/14 of 23/01/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RIVERROCK SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Wrights Lane</td>
</tr>
<tr>
<td>City:</td>
<td>W8 5sl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9034934 of 20/04/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2576</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0099811/17 of 16/08/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9034934 of 20/04/2009)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9034934 of 20/04/2009)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 9034934 of 20/04/2009)
5) Investment advice (Notification 9034934 of 20/04/2009)
6) Execution of orders on behalf of clients (Notification 9034934 of 20/04/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9034934 of 20/04/2009)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>R.J. O' BRIEN FRANCE S.A.S.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>121 Avenue De Malakoff</td>
</tr>
<tr>
<td>City:</td>
<td>75016 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0636757/19 of 17/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5127</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0636757/19 of 17/10/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0636757/19 of 17/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>R.J. O’BRIEN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Upper Street Islington</td>
</tr>
<tr>
<td>City:</td>
<td>N1 0qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4101738 of 02/12/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1499</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 4101738 of 02/12/2004)
2) Investment advice (Notification 4101738 of 02/12/2004)
3) Execution of orders on behalf of clients (Notification 4101738 of 02/12/2004)
4) Dealing on own account (Notification 4101738 of 02/12/2004)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 4101738 of 02/12/2004)
6) 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 (Notification 6009258 of 02/02/2006)
7) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6009258 of 02/02/2006)
8) Portfolio management (Notification 6009258 of 02/02/2006)
9) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8088161 of 25/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>R.J. O’BRIEN (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Copthall Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12037450 of 07/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3413</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12037450 of 07/05/2012)
2) Execution of orders on behalf of clients (Notification 12037450 of 07/05/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12037450 of 07/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RM CAPITAL MARKETS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Melville Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 7ja - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12011141 of 15/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3348</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12011141 of 15/02/2012)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 12011141 of 15/02/2012)
3) Investment advice (Notification 12011141 of 15/02/2012)
4) Execution of orders on behalf of clients (Notification 12011141 of 15/02/2012)
5) Dealing on own account (Notification 12011141 of 15/02/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12011141 of 15/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RMG HOLDING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Michalakopoulou Street</td>
</tr>
<tr>
<td>City:</td>
<td>1075 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13025212 of 28/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3667</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 13025212 of 28/03/2013)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 13025212 of 28/03/2013)
3) Investment advice (Notification 13025212 of 28/03/2013)
4) Portfolio management (Notification 13025212 of 28/03/2013)
5) Dealing on own account (Notification 13025212 of 28/03/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13025212 of 28/03/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm</th>
<th>ROBERT QUINN ADVISORY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office</td>
<td>Ariel House 74a Charlotte Street</td>
</tr>
<tr>
<td>City</td>
<td>W1t 4qj - Londra</td>
</tr>
<tr>
<td>Country</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration</td>
<td>n. 11077952 of 15/09/2011</td>
</tr>
<tr>
<td>Registration no.</td>
<td>3261</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11077952 of 15/09/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11077952 of 15/09/2011)

3) Investment advice (Notification 11077952 of 15/09/2011)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11077952 of 15/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ROBERT W BAIRD LIMITED

Registered office: 15 Finsbury Circus

City: Ec2m 7eb - Londra

Country: Regno Unito

Notification of Registration: n. 98019844 of 18/03/1998

Registration no.: 693

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0448016/18 of 06/11/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Services related to underwriting (Notification 98019844 of 18/03/1998)
4) Investment advice (Notification 98019844 of 18/03/1998)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 98019844 of 18/03/1998)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0025297/16 of 23/03/2016)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0081516/13 of 15/10/2013)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0081516/13 of 15/10/2013)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0081516/13 of 15/10/2013)
5) Execution of orders on behalf of clients (Notification 0081516/13 of 15/10/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081516/13 of 15/10/2013)
7) Dealing on own account (Notification 0379074/18 of 01/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROCKFIRE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 8dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13043188 of 17/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3708</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13043188 of 17/05/2013)
2) Portfolio management (Notification 13043188 of 17/05/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13043188 of 17/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROMETSCH &amp; MOOR LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Lime Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 7ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099607 of 08/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1992</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099607 of 08/11/2007)
2) Investment advice (Notification 7099607 of 08/11/2007)
3) Execution of orders on behalf of clients (Notification 7099607 of 08/11/2007)
4) Portfolio management (Notification 7099607 of 08/11/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099607 of 08/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

*DATE 10/01/2020*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RONIN EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Phythagoras Street</td>
</tr>
<tr>
<td>City:</td>
<td>3027 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0059108 of 09/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3743</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. 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 (Notification 0059108 of 09/07/2013)
2. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0059108 of 09/07/2013)
3. Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0059108 of 09/07/2013)
4. Services related to underwriting (Notification 0059108 of 09/07/2013)
5. Foreign exchange services where these are connected to the provision of investment services (Notification 0059108 of 09/07/2013)
6. Investment advice (Notification 0059108 of 09/07/2013)
7. Execution of orders on behalf of clients (Notification 0059108 of 09/07/2013)
8. Portfolio management (Notification 0059108 of 09/07/2013)
9. Reception and transmission of orders in relation to one or more financial instruments (Notification 0059108 of 09/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RONIN TRADING EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Steward Street, 2nd Floor, The Steward Building</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6fq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0140373/17 of 03/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4742</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0140373/17 of 03/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: RONIN TRADING UK LLP

Registered office: 20 Primrose Street

City: Ec2a 2ew - Cheshire

Country: Regno Unito

Notification of Registration: n. 9041242 of 05/05/2009

Registration no.: 2582

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 11001906 of 12/01/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ROODHALS CAPITAL LTD

Registered office: 11 The Terrace

City: Sw13 0np - Londra

Country: Regno Unito

Notification of Registration: n. 11007847 of 02/02/2011

Registration no.: 3071

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11007847 of 02/02/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11007847 of 02/02/2011)
3) Investment advice (Notification 11007847 of 02/02/2011)
4) Execution of orders on behalf of clients (Notification 11007847 of 02/02/2011)
5) Portfolio management (Notification 11007847 of 02/02/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11007847 of 02/02/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROSEMOOR CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>150 Brompton Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1hx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012189 of 22/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3089</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11012189 of 22/02/2011)
2) Portfolio management (Notification 11012189 of 22/02/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012189 of 22/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ROSETTE MERCHANT BANK LLP

| Registered office: | 4 Millbank |
| City: | Sw1p 3ja - Londra |
| Country: | Regno Unito |
| Notification of Registration: | n. 11017386 of 08/03/2011 |
| Registration no.: | 3100 |

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0047517/15 of 11/06/2015)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11017386 of 08/03/2011)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11017386 of 08/03/2011)
4) Investment advice (Notification 11017386 of 08/03/2011)
5) Execution of orders on behalf of clients (Notification 11017386 of 08/03/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11017386 of 08/03/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROTHESCO PROPERTY ADVISORS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dorpsstraat 31</td>
</tr>
<tr>
<td>City:</td>
<td>2445aj - Aarlanderveen</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9087234 of 09/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2696</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9087234 of 09/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: ROTHSCILD & CO WEALTH MANAGEMENT UK LIMITED

Registered office: New Court, St. Swithin's Lane

City: Ec4n 8al - Londra

Country: Regno Unito

Notification of Registration: n. 10024546 of 19/03/2010

Registration no.: 2814

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10024546 of 19/03/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10024546 of 19/03/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10024546 of 19/03/2010)

4) Investment advice (Notification 10024546 of 19/03/2010)

5) Execution of orders on behalf of clients (Notification 10024546 of 19/03/2010)

6) Portfolio management (Notification 10024546 of 19/03/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10024546 of 19/03/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0033358/16 of 14/04/2016)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0033358/16 of 14/04/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0033358/16 of 14/04/2016)

4) Services related to underwriting (Notification 0033358/16 of 14/04/2016)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0033358/16 of 14/04/2016)

6) Investment advice (Notification 0033358/16 of 14/04/2016)

7) Execution of orders on behalf of clients (Notification 0033358/16 of 14/04/2016)

8) Portfolio management (Notification 0033358/16 of 14/04/2016)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033358/16 of 14/04/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ROYAL BANK OF CANADA INVESTMENT MANAGEMENT (UK) LTD

Registered office: 71 Queen Victoria Street

City: Ec4v 4de - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 381

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) 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 (Notification 8081362 of 02/09/2008)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8081362 of 02/09/2008)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8081362 of 02/09/2008)

5) Placing of financial instruments without a firm commitment basis (Notification 8081362 of 02/09/2008)

6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

8) Investment advice (Notification 96000620 of 03/01/1996)

9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

10) Portfolio management (Notification 96000620 of 03/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROYAL FINANCIAL TRADING (CY) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>John Kennedy Street Kanika Complex</td>
</tr>
<tr>
<td>City:</td>
<td>3106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105414/17 of 11/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4675</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0105414/17 of 11/09/2017)

2) Investment advice (Notification 0105414/17 of 11/09/2017)

3) Execution of orders on behalf of clients (Notification 0105414/17 of 11/09/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105414/17 of 11/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ROYAL FOREX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>128 - 130 Limassol Avenue, 3rd Floor, Strovolos</td>
</tr>
<tr>
<td>City:</td>
<td>2015 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002398/16 of 13/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4300</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0002398/16 of 13/01/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0002398/16 of 13/01/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0002398/16 of 13/01/2016)

4) Execution of orders on behalf of clients (Notification 0002398/16 of 13/01/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002398/16 of 13/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RP CREST GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landsberger Strasse 110</td>
</tr>
<tr>
<td>City:</td>
<td>D80339 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043564/15 of 28/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4176</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0043564/15 of 28/05/2015)
2) Execution of orders on behalf of clients (Notification 0043564/15 of 28/05/2015)
3) Portfolio management (Notification 0043564/15 of 28/05/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043564/15 of 28/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RS PLATOU FINANS SHIPPING AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Haakon Vii’S Gt. 10</td>
</tr>
<tr>
<td>City:</td>
<td>0119 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070927/13 of 28/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3791</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070927/13 of 28/08/2013)
2) Services related to underwriting (Notification 0070927/13 of 28/08/2013)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0070927/13 of 28/08/2013)
4) Placing of financial instruments without a firm commitment basis (Notification 0070927/13 of 28/08/2013)
5) Execution of orders on behalf of clients (Notification 0070927/13 of 28/08/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070927/13 of 28/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RS PLATOU MARKETS AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Haakon Vii’S Gate 10/P.O Box 1474 Vika</td>
</tr>
<tr>
<td>City:</td>
<td>0116 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98023206 of 30/03/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>694</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98023206 of 30/03/1998)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 98023206 of 30/03/1998)
3) Services related to underwriting (Notification 98023206 of 30/03/1998)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 98023206 of 30/03/1998)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98023206 of 30/03/1998)
6) Placing of financial instruments without a firm commitment basis (Notification 98023206 of 30/03/1998)
7) Investment advice (Notification 98023206 of 30/03/1998)
8) Execution of orders on behalf of clients (Notification 98023206 of 30/03/1998)
9) Dealing on own account (Notification 98023206 of 30/03/1998)
10) Reception and transmission of orders in relation to one or more financial instruments (Notification 98023206 of 30/03/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: RUBICON INFRASTRUCTURE ADVISORS UNLIMITED COMPANY

Registered office: 10 Pembroke Place Ballsbridge

City: Dublin4 - Dublino

Country: Irlanda

Notification of Registration: n. 0039032/14 of 12/05/2014

Registration no.: 3959

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0039032/14 of 12/05/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0039032/14 of 12/05/2014)

3) Placing of financial instruments without a firm commitment basis (Notification 0039032/14 of 12/05/2014)

4) Investment advice (Notification 0039032/14 of 12/05/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0039032/14 of 12/05/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RUFFER LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11055810 of 21/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3175</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0105325/16 of 28/11/2016)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11055810 of 21/06/2011)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11055810 of 21/06/2011)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 11055810 of 21/06/2011)
5) Execution of orders on behalf of clients (Notification 11055810 of 21/06/2011)
6) Portfolio management (Notification 11055810 of 21/06/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11055810 of 21/06/2011)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **RUFFER SA**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>103 Boulevard Haussmann</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0300634/19 of 29/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5033</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0300634/19 of 29/05/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0300634/19 of 29/05/2019)

3) Investment advice (Notification 0300634/19 of 29/05/2019)

4) Portfolio management (Notification 0300634/19 of 29/05/2019)

5) Dealing on own account (Notification 0300634/19 of 29/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: RUIZEAN MARKETS LTD

Registered office: Agias Zonis & Thessalonikis 1

City: 3026 - Limassol

Country: Cipro

Notification of Registration: n. 0136122/17 of 14/12/2017

Registration no.: 4727

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0136122/17 of 14/12/2017)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0136122/17 of 14/12/2017)

3) Execution of orders on behalf of clients (Notification 0136122/17 of 14/12/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136122/17 of 14/12/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RUSSELL INVESTMENTS IMPLEMENTATION SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rex House, 10 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6064066 of 28/07/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1679</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6064066 of 28/07/2006)  
2) Execution of orders on behalf of clients (Notification 6064066 of 28/07/2006)  
3) Portfolio management (Notification 6064066 of 28/07/2006)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6064066 of 28/07/2006)  
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RUSSELL INVESTMENTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rex House 10 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4pe - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98024648 of 03/04/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>696</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9085883 of 05/10/2009)
2) Execution of orders on behalf of clients (Notification 98024648 of 03/04/1998)
3) Portfolio management (Notification 98024648 of 03/04/1998)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 98024648 of 03/04/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RWC PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0500435/18 of 03/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4901</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0500435/18 of 03/12/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RWE TRADING SERVICES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Altenessener Str.27</td>
</tr>
<tr>
<td>City:</td>
<td>45141 - Essen</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9023530 of 17/03/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2548</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10074984 of 08/09/2010)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 10074984 of 08/09/2010)

3) Investment advice (Notification 9023530 of 17/03/2009)

4) Execution of orders on behalf of clients (Notification 9023530 of 17/03/2009)

5) Portfolio management (Notification 9023530 of 17/03/2009)

6) Dealing on own account (Notification 9023530 of 17/03/2009)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9023530 of 17/03/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RX SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Fore Street London</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075193/16 of 12/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4455</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0075193/16 of 12/08/2016)
2) Investment advice (Notification 0075193/16 of 12/08/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075193/16 of 12/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RYNAT TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18, Monis Machera Street</td>
</tr>
<tr>
<td>City:</td>
<td>3020 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0110224/16 of 14/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4521</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0110224/16 of 14/12/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0110224/16 of 14/12/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0110224/16 of 14/12/2016)

4) Execution of orders on behalf of clients (Notification 0110224/16 of 14/12/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0110224/16 of 14/12/2016)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0152609/19 of 20/03/2019)

7) Investment advice (Notification 0152609/19 of 20/03/2019)

8) Portfolio management (Notification 0152609/19 of 20/03/2019)

9) Dealing on own account (Notification 0152609/19 of 20/03/2019)

Please make reference to the Supervisory home Authority [website](https://www.supervisory-authority.gov) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RYNDA PROPERTY INVESTORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Maddox Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2pp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6034993 of 20/04/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1643</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6034993 of 20/04/2006)
2) Portfolio management (Notification 6034993 of 20/04/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6034993 of 20/04/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>RYSE ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6np - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10071815 of 20/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2955</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0004638/14 of 20/01/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10071815 of 20/08/2010)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10071815 of 20/08/2010)
4) Placing of financial instruments without a firm commitment basis (Notification 10071815 of 20/08/2010)
5) Investment advice (Notification 10071815 of 20/08/2010)
6) Execution of orders on behalf of clients (Notification 10071815 of 20/08/2010)
7) Portfolio management (Notification 10071815 of 20/08/2010)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 10071815 of 20/08/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>S G WEALTH MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53-57 St Martin'S Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Nr3 3sa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045113/15 of 04/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4185</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0045113/15 of 04/06/2015)

2) Investment advice (Notification 0045113/15 of 04/06/2015)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0045113/15 of 04/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>S. P. ANGEL CORPORATE FINANCE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35-39 Maddox Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 2pp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10063754 of 20/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2916</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10063754 of 20/07/2010)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10063754 of 20/07/2010)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10063754 of 20/07/2010)

4) Placing of financial instruments without a firm commitment basis (Notification 10063754 of 20/07/2010)

5) Investment advice (Notification 10063754 of 20/07/2010)

6) Execution of orders on behalf of clients (Notification 10063754 of 20/07/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10063754 of 20/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SABRE FUND MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Buckingham Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 6lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070778 of 12/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2946</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10070778 of 12/08/2010)
2) Execution of orders on behalf of clients (Notification 10070778 of 12/08/2010)
3) Portfolio management (Notification 10070778 of 12/08/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070778 of 12/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAEN TRADING B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Po Box 3728</td>
</tr>
<tr>
<td>City:</td>
<td>1001 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8056335 of 13/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2322</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 8056335 of 13/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SAFE CAPITAL INVESTMENTS LTD

Registered office: 259 Sant Paul Street

City: Vlt1213 - Valletta

Country: Malta

Notification of Registration: n. 0248360/19 of 07/05/2019

Registration no.: 5030

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0248360/19 of 07/05/2019)
2) Investment advice (Notification 0248360/19 of 07/05/2019)
3) Execution of orders on behalf of clients (Notification 0248360/19 of 07/05/2019)
4) Portfolio management (Notification 0248360/19 of 07/05/2019)
5) Operation of an MTF (Notification 0248360/19 of 07/05/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0248360/19 of 07/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAFECAP INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>148 Strovolos Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>2048 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9085099 of 01/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2688</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0132858/19 of 11/03/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12009019 of 07/02/2012)
3) Execution of orders on behalf of clients (Notification 12009019 of 07/02/2012)
4) Dealing on own account (Notification 12009019 of 07/02/2012)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13021728 of 19/03/2013)
6) 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 (Notification 9085099 of 01/10/2009)
7) Foreign exchange services where these are connected to the provision of investment services (Notification 9085099 of 01/10/2009)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9085099 of 01/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SALAMANCA CAPITAL PARTNERS LLP

50 Berkeley Street
W1J 8HA - Londra
Regno Unito
n. 0015957/14 of 27/02/2014
3919

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0015957/14 of 27/02/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0015957/14 of 27/02/2014)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0015957/14 of 27/02/2014)
4) Investment advice (Notification 0015957/14 of 27/02/2014)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015957/14 of 27/02/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** | **SALIX CAPITAL (UK) LIMITED**
---|---
**Registered office:** | 105 Piccadilly
**City:** | E1j 7nj - Londra
**Country:** | Regno Unito
**Notification of Registration:** | n. 0017673/14 of 05/03/2014
**Registration no.:** | 3921

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0017673/14 of 05/03/2014)
2) Execution of orders on behalf of clients (Notification 0017673/14 of 05/03/2014)
3) Portfolio management (Notification 0017673/14 of 05/03/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017673/14 of 05/03/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SALUS ALPHA CAPITAL GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wagacker 42</td>
</tr>
<tr>
<td>City:</td>
<td>FL 9493 - Mauren</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7079729 of 30/08/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1845</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7079729 of 30/08/2007)
2) Portfolio management (Notification 7079729 of 30/08/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7079729 of 30/08/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAMARANG LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bolwick Hall, Marsham</td>
</tr>
<tr>
<td>City:</td>
<td>Nr10 5pu - Norfolk</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12080658 of 10/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3523</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12080658 of 10/10/2012)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12080658 of 10/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11012183 of 22/02/2011)
2) Execution of orders on behalf of clients (Notification 11012183 of 22/02/2011)
3) Portfolio management (Notification 11012183 of 22/02/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012183 of 22/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAMENA CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21-22 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012183 of 22/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3086</td>
</tr>
</tbody>
</table>
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAMSUNG SECURITIES (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7pg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11065142 of 22/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3207</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0134560/17 of 11/12/2017)
2) Placing of financial instruments without a firm commitment basis (Notification 0134560/17 of 11/12/2017)
3) Dealing on own account (Notification 0134560/17 of 11/12/2017)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11065142 of 22/07/2011)
5) Investment advice (Notification 11065142 of 22/07/2011)
6) Execution of orders on behalf of clients (Notification 11065142 of 22/07/2011)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065142 of 22/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGIster of eu investment firms: Without branches
(Date 10/01/2020)

Investment firm: SAND AIRE LIMITED

Registered office: 105 Wigmore Street

City: W1u 1qy - Londra

Country: Regno Unito

Notification of Registration: n. 0462643/18 of 13/11/2018

Registration no.: 4893

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0462643/18 of 13/11/2018)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0462643/18 of 13/11/2018)
3) Investment advice (Notification 0462643/18 of 13/11/2018)
4) Execution of orders on behalf of clients (Notification 0462643/18 of 13/11/2018)
5) Portfolio management (Notification 0462643/18 of 13/11/2018)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0462643/18 of 13/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  
SANFORD C. BERNSTEIN LIMITED

Registered office:  
50 Berkeley Street

City:  
W1j 8sb - Londra

Country:  
Regno Unito

Notification of Registration:  
n. 24154 of 29/03/2000

Registration no.:  
996

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 11031728 of 14/04/2011)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11031728 of 14/04/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 24154 of 29/03/2000)
4) Investment advice (Notification 24154 of 29/03/2000)
5) Execution of orders on behalf of clients (Notification 24154 of 29/03/2000)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 24154 of 29/03/2000)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SANFORD C.BERNSTEIN IRELAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Earlsfort Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>D02e024 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084721/19 of 15/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4947</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084721/19 of 15/02/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084721/19 of 15/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SANLAM PRIVATE INVESTMENTS (UK) LTD

Registered office: 16 South Park

City: Tn13 1an - Sevenoaks

Country: Regno Unito

Notification of Registration: n. 13009603 of 05/02/2013

Registration no.: 3619

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13009603 of 05/02/2013)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13009603 of 05/02/2013)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13009603 of 05/02/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 13009603 of 05/02/2013)

5) Placing of financial instruments without a firm commitment basis (Notification 13009603 of 05/02/2013)

6) Investment advice (Notification 13009603 of 05/02/2013)

7) Execution of orders on behalf of clients (Notification 13009603 of 05/02/2013)

8) Portfolio management (Notification 13009603 of 05/02/2013)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 13009603 of 05/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SANLAM SECURITIES UK LIMITED

Registered office: 16 South Park

City: Tn13 1an - Kent

Country: Regno Unito

Notification of Registration: n. 11100675 of 21/12/2011

Registration no.: 3323

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11100675 of 21/12/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11100675 of 21/12/2011)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 11100675 of 21/12/2011)
4) Placing of financial instruments without a firm commitment basis (Notification 11100675 of 21/12/2011)
5) Investment advice (Notification 11100675 of 21/12/2011)
6) Execution of orders on behalf of clients (Notification 11100675 of 21/12/2011)
7) Portfolio management (Notification 11100675 of 21/12/2011)
8) Dealing on own account (Notification 11100675 of 21/12/2011)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 11100675 of 21/12/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SANLAM WEALTH PLANNING UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Derwen House Ffordd Derwen Road</td>
</tr>
<tr>
<td>City:</td>
<td>LI18 2ls - Rhyl</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099158 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1982</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099158 of 07/11/2007)
2. Investment advice (Notification 7099158 of 07/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SANTANDER FINANCIAL PRODUCTS PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Block 8, Harcourt Centre 2</td>
</tr>
<tr>
<td>City:</td>
<td>Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96006978 of 23/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>452</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 96006978 of 23/01/1996)
2) Dealing on own account (Notification 96006978 of 23/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: SAPIA PARTNERS LLP

Registered office: 134 Buckingham Palace Road

City: Sw1w9sa - Londra

Country: Regno Unito

Notification of Registration: n. 11077226 of 12/09/2011

Registration no.: 3257

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11077226 of 12/09/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11077226 of 12/09/2011)

3) Placing of financial instruments without a firm commitment basis (Notification 11077226 of 12/09/2011)

4) Investment advice (Notification 11077226 of 12/09/2011)

5) Execution of orders on behalf of clients (Notification 11077226 of 12/09/2011)

6) Portfolio management (Notification 11077226 of 12/09/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11077226 of 12/09/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAPIANCE CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>97 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6je - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9075384 of 13/08/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2652</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9075384 of 13/08/2009)
2) Investment advice (Notification 9075384 of 13/08/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SAPIEN CAPITAL LIMITED

Registered office: 14 Waterloo Place

City: Sw1y 4ar - Londra

Country: Regno Unito

Notification of Registration: n. 8037492 of 22/04/2008

Registration no.: 2292

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8037492 of 22/04/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8037492 of 22/04/2008)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 8037492 of 22/04/2008)

4) Placing of financial instruments without a firm commitment basis (Notification 8037492 of 22/04/2008)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8037492 of 22/04/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SARANAC PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 St James’s Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a1er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084876/17 of 03/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4628</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0084876/17 of 03/07/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084876/17 of 03/07/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0084876/17 of 03/07/2017)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0084876/17 of 03/07/2017)

5) Placing of financial instruments without a firm commitment basis (Notification 0084876/17 of 03/07/2017)

6) Investment advice (Notification 0084876/17 of 03/07/2017)

7) Execution of orders on behalf of clients (Notification 0084876/17 of 03/07/2017)

8) Portfolio management (Notification 0084876/17 of 03/07/2017)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084876/17 of 03/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SARASIN &amp; PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Juxon House 100 St Pauls Churchyard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 8bu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0046964/16 of 20/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4388</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0046964/16 of 20/05/2016)
2) Portfolio management (Notification 0046964/16 of 20/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SARDIS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7090952 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1892</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7090952 of 01/11/2007)

2) Investment advice (Notification 7090952 of 01/11/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090952 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SARES INVEST GESELLSCHAFT MBH

Registered office: Kleeblattgasse 13/11a

City: 1010 - Vienna

Country: Austria

Notification of Registration: n. 4031370 of 06/04/2004

Registration no.: 1436

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4031370 of 06/04/2004)
2) Portfolio management (Notification 4031370 of 06/04/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4031370 of 06/04/2004)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SAUNDERSON HOUSE LIMITED

Commercial Union House, 1-5 Long Lane

Ec1a 9hf - Londra

Regno Unito

n. 7098696 of 06/11/2007

1960

1) Portfolio management (Notification 0101333/16 of 14/11/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098696 of 06/11/2007)
3) Investment advice (Notification 7098696 of 06/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098696 of 06/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAVE &amp; INVEST (FINANCIAL PLANNING) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1000 West Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>G2 2qd - Glasgow</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005221 of 21/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2178</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8005221 of 21/01/2008)
2) Investment advice (Notification 8005221 of 21/01/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8005221 of 21/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SAVILLS CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grosvenor Hill</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8102497 of 10/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2465</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8102497 of 10/11/2008)
2) Investment advice (Notification 8102497 of 10/11/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8102497 of 10/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0049257/17 of 14/04/2017)

2) Investment advice (Notification 0049257/17 of 14/04/2017)

3) Execution of orders on behalf of clients (Notification 0049257/17 of 14/04/2017)

4) Portfolio management (Notification 0049257/17 of 14/04/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049257/17 of 14/04/2017)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SB CORPORATE FINANCE PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Knightsbridge Green</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13000628 of 04/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3593</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13000628 of 04/01/2013)

2) Investment advice (Notification 13000628 of 04/01/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000628 of 04/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12051604\ of 18/06/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12051604\ of 18/06/2012)
3) Services related to underwriting (Notification 12051604\ of 18/06/2012)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 12051604\ of 18/06/2012)
5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 12051604\ of 18/06/2012)
6) Placing of financial instruments without a firm commitment basis (Notification 12051604\ of 18/06/2012)
7) Investment advice (Notification 12051604\ of 18/06/2012)
8) Execution of orders on behalf of clients (Notification 12051604\ of 18/06/2012)
9) Portfolio management (Notification 12051604\ of 18/06/2012)
10) Dealing on own account (Notification 12051604\ of 18/06/2012)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 12051604\ of 18/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SBICAP (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 King Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8ea - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6056632 of 04/07/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1673</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6056632 of 04/07/2006)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 6056632 of 04/07/2006)
3) Placing of financial instruments without a firm commitment basis (Notification 6056632 of 04/07/2006)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 6056632 of 04/07/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SC LOWY ASSET MANAGEMENT (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 St James Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a1hd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072948/14 of 10/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4033</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0072948/14 of 10/09/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072948/14 of 10/09/2014)

3) Execution of orders on behalf of clients (Notification 0072948/14 of 10/09/2014)

4) Portfolio management (Notification 0072948/14 of 10/09/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072948/14 of 10/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCALABLE CAPITAL VERMOEGENSVERWALTUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Prinzregentenstr. 48</td>
</tr>
<tr>
<td>City:</td>
<td>80538 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0101801/17 of 25/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4664</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0101801/17 of 25/08/2017)  
2) Portfolio management (Notification 0101801/17 of 25/08/2017)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101801/17 of 25/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**Investment firm:** SCB & Associates Limited  
**Registered office:** Unità C16 Dufferin Street  
**City:** Ec1y8pd - Londra  
**Country:** Regno Unito  
**Notification of Registration:** n. 0087032/13 of 05/11/2013  
**Registration no.:** 3846

#### Services Provided in Italy

1. Execution of orders on behalf of clients (Notification 0087032/13 of 05/11/2013)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0087032/13 of 05/11/2013)
3. Dealing on own account (Notification 0099072/17 of 10/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCHEUERMANN &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>114/3 The Strand</td>
</tr>
<tr>
<td>City:</td>
<td>1027 - Gzira</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0342556/19 of 13/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5038</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0342556/19 of 13/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCHNEIDER TRADING ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>110 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 4ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3024840 of 17/04/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1362</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0099080/17 of 10/08/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099080/17 of 10/08/2017)
3) Execution of orders on behalf of clients (Notification 9077907 of 28/08/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCHRODER INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 London Wall Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y5au - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>384</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 27223 of 10/04/2000)
2) Placing of financial instruments without a firm commitment basis (Notification 27223 of 10/04/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
5) Investment advice (Notification 96000620 of 03/01/1996)
6) Portfolio management (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCIENS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7090949 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1893</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7090949 of 01/11/2007)

2) Investment advice (Notification 7090949 of 01/11/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7090949 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SCIO CAPITAL LLP

Registered office: 33 St James’S Square

City: Sw1y4js - Londra

Country: Regno Unito

Notification of Registration: n. 10071785 of 20/08/2010

Registration no.: 2953

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10071785 of 20/08/2010)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10071785 of 20/08/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10071785 of 20/08/2010)

4) Investment advice (Notification 10071785 of 20/08/2010)

5) Execution of orders on behalf of clients (Notification 10071785 of 20/08/2010)

6) Portfolio management (Notification 10071785 of 20/08/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10071785 of 20/08/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCM PRIVATE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Michelin House 81</td>
</tr>
<tr>
<td></td>
<td>Michelin House 81</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 6rd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0174031/18 of 28/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4831</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0174031/18 of 28/05/2018)
2) Portfolio management (Notification 0174031/18 of 28/05/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0174031/18 of 28/05/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SCOTT HARRIS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Victoria House 1-3 College Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 2ra - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7016251 of 23/02/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1764</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7016251 of 23/02/2007)
2) Investment advice (Notification 7016251 of 23/02/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7016251 of 23/02/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEA PORT GROUP SECURITIES (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11052228 of 09/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3166</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0099091/17 of 10/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11052228 of 09/06/2011)
3) Investment advice (Notification 11052228 of 09/06/2011)
4) Execution of orders on behalf of clients (Notification 11052228 of 09/06/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11052228 of 09/06/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEABURY SECURITIES (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15-16 Buckingham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 6du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13026235 of 29/03/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3670</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13026235 of 29/03/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13026235 of 29/03/2013)
3) Investment advice (Notification 13026235 of 29/03/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEALARK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>103 Mount St 1st Floor</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 2tj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11062919 of 14/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3200</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 11062919 of 14/07/2011)
2) Execution of orders on behalf of clients (Notification 11062919 of 14/07/2011)
3) Portfolio management (Notification 11062919 of 14/07/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11062919 of 14/07/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEAPORT EUROPE LOAN PRODUCTS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Finsbury Circus,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9089750 of 21/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2706</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 9089750 of 21/10/2009)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 9089750 of 21/10/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11000232 of 03/01/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11000232 of 03/01/2011)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11000232 of 03/01/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11000232 of 03/01/2011)

5) Investment advice (Notification 11000232 of 03/01/2011)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11000232 of 03/01/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTE ROF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEBASTIAN NITSCH VERMOGENSTREUHAND GES.M.B.H.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wiesingerstrasse 8/20</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 42302 of 01/06/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1020</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 42302 of 01/06/2000)
2) Portfolio management (Notification 42302 of 01/06/2000)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 42302 of 01/06/2000)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SECOR INVESTMENT ADVISORS (UK) LLP

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>37 Sun Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2m 2pl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12011168 of 16/02/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3354</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12011168 of 16/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SECTOR CAPITAL ADVISORS AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge 2</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099505 of 08/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2080</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7099505 of 08/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099505 of 08/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SECTOR CAPITAL AS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge 2 0252 Oslo</td>
</tr>
<tr>
<td>City:</td>
<td>- Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0038596/17 of 27/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4631</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0038596/17 of 27/03/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0038596/17 of 27/03/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0038596/17 of 27/03/2017)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0038596/17 of 27/03/2017)

5) Investment advice (Notification 0038596/17 of 27/03/2017)

6) Execution of orders on behalf of clients (Notification 0038596/17 of 27/03/2017)

7) Dealing on own account (Notification 0038596/17 of 27/03/2017)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0038596/17 of 27/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SECTOR EPSILON ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge 2,</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099485 of 29/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2088</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7099485 of 29/10/2007)
2) Portfolio management (Notification 7099485 of 29/10/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** SECTOR FUND SERVICES AS

**Registered office:** Filipstad Brygge 2

**City:** 0125 - Oslo

**Country:** Norvegia

**Notification of Registration:** n. 6022047 of 09/03/2006

**Registration no.:** 1630

---

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6022047 of 09/03/2006)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6022047 of 09/03/2006)

3) Investment advice (Notification 6022047 of 09/03/2006)

4) Portfolio management (Notification 6022047 of 09/03/2006)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7099506 of 08/11/2007)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7099506 of 08/11/2007)

7) Placing of financial instruments without a firm commitment basis (Notification 7099506 of 08/11/2007)

8) Execution of orders on behalf of clients (Notification 7099506 of 08/11/2007)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099506 of 08/11/2007)

---

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>SECTOR GAMMA AS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge 2</td>
</tr>
<tr>
<td>City:</td>
<td>0252 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7062779 of 06/07/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1817</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7062779 of 06/07/2007)  
2) Portfolio management (Notification 7062779 of 06/07/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SECTOR OMEGA ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge 2</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6022045 of 09/03/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1629</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6022045 of 09/03/2006)
2) Portfolio management (Notification 6022045 of 09/03/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SECTOR THETA ASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Filipstad Brygge, 2</td>
</tr>
<tr>
<td>City:</td>
<td>0250 - Oslo</td>
</tr>
<tr>
<td>Country:</td>
<td>Norvegia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099483 of 30/10/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1877</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7099483 of 30/10/2007)
2) Portfolio management (Notification 7099483 of 30/10/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0065560/16 of 14/07/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065560/16 of 14/07/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0065560/16 of 14/07/2016)

4) Execution of orders on behalf of clients (Notification 0065560/16 of 14/07/2016)

5) Portfolio management (Notification 0065560/16 of 14/07/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065560/16 of 14/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEEDTRIBE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>27-31 Parsons Green Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Sw64hh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0081798/16 of 13/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4466</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0081798/16 of 13/09/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SEI INVESTMENTS (EUROPE) LIMITED

Registered office: 25 St James’S Street, The Economist Building

City: Sw1a 1ha - Londra

Country: Regno Unito

Notification of Registration: n. 36128 of 12/05/2000

Registration no.: 1009

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1067586 of 05/09/2001)

2) 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 (Notification 2022971 of 09/04/2002)

3) Investment advice (Notification 2022971 of 09/04/2002)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 36128 of 12/05/2000)

5) Execution of orders on behalf of clients (Notification 36128 of 12/05/2000)

6) Portfolio management (Notification 36128 of 12/05/2000)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 36128 of 12/05/2000)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEILERN INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6-8 Sackville Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3dg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11057541 of 27/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3182</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11057541 of 27/06/2011)
2) Investment advice (Notification 11057541 of 27/06/2011)
3) Execution of orders on behalf of clients (Notification 11057541 of 27/06/2011)
4) Portfolio management (Notification 11057541 of 27/06/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11057541 of 27/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SELECCION E INVERSION DE CAPITAL GLOBAL AGENCIA DE VALORES S.A.

Registered office: Calle Maria Francisca 9

City: 28002 - Madrid

Country: Spagna

Notification of Registration: n. 10006992 of 28/01/2010

Registration no.: 2765

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049947/14 of 13/06/2014)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10006992 of 28/01/2010)

3) Investment advice (Notification 10006992 of 28/01/2010)

Please make reference to the Supervisory home Authority website, in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SELINUS CAPITAL ADVISORS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neue Mainzer Strasse 52-58</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011383/19 of 08/01/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4932</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011383/19 of 08/01/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SENING CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Weston Street London</td>
</tr>
<tr>
<td>City:</td>
<td>Se1 3qd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0216935/18 of 21/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4843</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0216935/18 of 21/06/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0216935/18 of 21/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEQUANT CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>150 Minories</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3n 1ls - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8012975 of 12/02/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2207</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 8012975 of 12/02/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8012975 of 12/02/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 12009023 of 07/02/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12009023 of 07/02/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SEQUOIA INVESTMENT MANAGEMENT COMPANY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11-13 Market Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 8ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10102045 of 14/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3044</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10102045 of 14/12/2010)
2) Execution of orders on behalf of clients (Notification 10102045 of 14/12/2010)
3) Portfolio management (Notification 10102045 of 14/12/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10102045 of 14/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SETANTA ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beresford Court</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin 1 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049950/14 of 13/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3979</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0049950/14 of 13/06/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0049950/14 of 13/06/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SFG PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12073241 of 11/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3504</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12073241 of 11/09/2012)
2) Investment advice (Notification 12073241 of 11/09/2012)
3) Execution of orders on behalf of clients (Notification 12073241 of 11/09/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12073241 of 11/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SG EURO C.T.

Registered office: 1 A 5 Rue Du Debarcadere Perspective Defense

City: 92700 - Colombes

Country: Francia

Notification of Registration: n. 0087939/13 of 08/11/2013

Registration no.: 3851

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0087939/13 of 08/11/2013)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0087939/13 of 08/11/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 0087939/13 of 08/11/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SG SECURITIES (PARIS) SAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tour Societe Generale, 17 Cours Valmy La Defense</td>
</tr>
<tr>
<td>City:</td>
<td>92987 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 97047452 of 17/06/1997</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>622</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 97047452 of 17/06/1997)
2) Dealing on own account (Notification 97047452 of 17/06/1997)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 97047452 of 17/06/1997)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHACKLETON FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14/15 Jewry Street</td>
</tr>
<tr>
<td>City:</td>
<td>So22 8rz - Winchester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99038129 of 13/05/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>779</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99038129 of 13/05/1999)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 99038129 of 13/05/1999)

Please make reference to the Supervisory home Authority website, in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHARD CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Tudor Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 0ah - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022951/14 of 25/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3934</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0022951/14 of 25/03/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0022951/14 of 25/03/2014)

3) Investment advice (Notification 0022951/14 of 25/03/2014)

4) Execution of orders on behalf of clients (Notification 0022951/14 of 25/03/2014)

5) Portfolio management (Notification 0022951/14 of 25/03/2014)

6) Dealing on own account (Notification 0022951/14 of 25/03/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022951/14 of 25/03/2014)

Please make reference to the Supervisory home Authority's website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHAREGAIN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Harella House 90-98 Goswell Road,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1v 7df - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0108899/16 of 09/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4518</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0108899/16 of 09/12/2016)

2) Investment advice (Notification 0108899/16 of 09/12/2016)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0108899/16 of 09/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHARELINK SECURITIES AND FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6, Theotoki Street, Ellinas House</td>
</tr>
<tr>
<td>City:</td>
<td>1521 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0137588/17 of 19/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4732</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0137588/17 of 19/12/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0137588/17 of 19/12/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0137588/17 of 19/12/2017)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0137588/17 of 19/12/2017)

5) Services related to underwriting (Notification 0137588/17 of 19/12/2017)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0137588/17 of 19/12/2017)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0137588/17 of 19/12/2017)

8) Placing of financial instruments without a firm commitment basis (Notification 0137588/17 of 19/12/2017)

9) Investment advice (Notification 0137588/17 of 19/12/2017)

10) Execution of orders on behalf of clients (Notification 0137588/17 of 19/12/2017)

11) Portfolio management (Notification 0137588/17 of 19/12/2017)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0137588/17 of 19/12/2017)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SHENKMAN CAPITAL MANAGEMENT LTD

Registered office: 49 St James’S Street

City: Sw1a 1jt - Londra

Country: Regno Unito

Notification of Registration: n. 13019426 of 11/03/2013

Registration no.: 3654

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0071342/15 of 11/09/2015)
2) Portfolio management (Notification 0071342/15 of 11/09/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071342/15 of 11/09/2015)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13019426 of 11/03/2013)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13019426 of 11/03/2013)
6) Investment advice (Notification 13019426 of 11/03/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHINKIN INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6ex - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>558</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96059817 of 15/07/1996)

2) Placing of financial instruments without a firm commitment basis (Notification 96059817 of 15/07/1996)

3) Dealing on own account (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHINSEI INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 St James Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ju - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5039015 of 30/05/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1553</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5039015 of 30/05/2005)

2) Services related to underwriting (Notification 5039015 of 30/05/2005)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 5039015 of 30/05/2005)

4) Placing of financial instruments without a firm commitment basis (Notification 5039015 of 30/05/2005)

5) Investment advice (Notification 5039015 of 30/05/2005)

6) Execution of orders on behalf of clients (Notification 5039015 of 30/05/2005)

7) Dealing on own account (Notification 5039015 of 30/05/2005)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 5039015 of 30/05/2005)

9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHORE CAPITAL AND CORPORATE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bond Street House 14 Clifford Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s4ju - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96059817 of 15/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>544</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)

3) Services related to underwriting (Notification 96059817 of 15/07/1996)

4) Investment advice (Notification 96059817 of 15/07/1996)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHORE CAPITAL STOCKBROKERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Clifford Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ju - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>290</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) 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 (Notification 96000620 of 03/01/1996)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
4) Services related to underwriting (Notification 96000620 of 03/01/1996)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)
7) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)
8) Investment advice (Notification 96000620 of 03/01/1996)
9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
10) Portfolio management (Notification 96000620 of 03/01/1996)
11) Dealing on own account (Notification 96000620 of 03/01/1996)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SHORT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>New King’ S Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw6 4 Lz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8083557 of 09/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2410</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8083557 of 09/09/2008)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8083557 of 09/09/2008)
3) Investment advice (Notification 8083557 of 09/09/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8083557 of 09/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SIB (CYPRUS) LTD

27, Pindarou Street,

1060 - Nicosia

Cipro

n. 12034473 of 27/04/2012

3409

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0060759/16 of 30/06/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0060759/16 of 30/06/2016)

3) Investment advice (Notification 0338222/18 of 04/09/2018)

4) 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 (Notification 12034473 of 27/04/2012)

5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12034473 of 27/04/2012)

6) Services related to underwriting (Notification 12034473 of 27/04/2012)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 12034473 of 27/04/2012)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 12034473 of 27/04/2012)

9) Placing of financial instruments without a firm commitment basis (Notification 12034473 of 27/04/2012)

10) Execution of orders on behalf of clients (Notification 12034473 of 27/04/2012)

11) Dealing on own account (Notification 12034473 of 27/04/2012)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 12034473 of 27/04/2012)
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SIGMA BROKING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 2qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8079150 of 25/08/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2402</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8079150 of 25/08/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8079150 of 25/08/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SIGNIA WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Connaught Place,</td>
</tr>
<tr>
<td>City:</td>
<td>W2 2et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043020/16 of 11/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4381</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0043020/16 of 11/05/2016)
2) Execution of orders on behalf of clients (Notification 0043020/16 of 11/05/2016)
3) Portfolio management (Notification 0043020/16 of 11/05/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043020/16 of 11/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SILK INVEST LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>144 Gloucester Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Nw1 8ja - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8088160 of 25/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2425</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8088160 of 25/09/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8088160 of 25/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SILVER LAKE EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 King Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6qw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8037210 of 22/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2293</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 8037210 of 22/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SILVERPEAK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0614311/19 of 09/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5117</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0614311/19 of 09/10/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0614311/19 of 09/10/2019)
3) Investment advice (Notification 0614311/19 of 09/10/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0614311/19 of 09/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Registration of EU Investment Firms: Without Branches

(Date 10/01/2020)

Investment Firm: SIMBA CAPITAL LTD

Registered Office: 20 North Audley Street

City: W1k 6lx - Londra

Country: Regno Unito

Notification of Registration: n. 0003873/15 of 19/01/2015

Registration No.: 4122

Services Provided in Italy

1) Investment advice (Notification 0003873/15 of 19/01/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0003873/15 of 19/01/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SINOPAC SECURITIES (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor Habib House 42 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6el - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 20363 of 15/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>985</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 20363 of 15/03/2000)
2) Investment advice (Notification 20363 of 15/03/2000)
3) Execution of orders on behalf of clients (Notification 20363 of 15/03/2000)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 20363 of 15/03/2000)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SIRE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Harley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 8qq - London</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0504952/18 of 05/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4905</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0504952/18 of 05/12/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0504952/18 of 05/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SIRIO FINANCIAL ADVISORY LTD

Registered office: 19 Berkeley Street

City: W1j 8ed - Londra

Country: Regno Unito

Notification of Registration: n. 6065592 of 02/08/2006

Registration no.: 1683

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6065592 of 02/08/2006)

2) Investment advice (Notification 6065592 of 02/08/2006)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6065592 of 02/08/2006)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SK VERMOGENSVERWALTUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kaiserallee 12a</td>
</tr>
<tr>
<td>City:</td>
<td>D76133 - Karlsruhe</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12088049 of 08/11/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3556</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 12088049 of 08/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SKANDIA PORTFOLIOMANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kaiserin-Augusta-Allee 108</td>
</tr>
<tr>
<td>City:</td>
<td>10553 - Berlino</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10021995 of 15/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2806</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 10021995 of 15/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm: SKANE A BSTAS INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office: Leofo ros Makariou iii Avenue 226</td>
</tr>
<tr>
<td>City: 3030 - Limassol</td>
</tr>
<tr>
<td>Country: Cipro</td>
</tr>
<tr>
<td>Notification of Registration: n. 0090309/15 of 24/11/2015</td>
</tr>
<tr>
<td>Registration no.: 4270</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0090309/15 of 24/11/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0090309/15 of 24/11/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0090309/15 of 24/11/2015)

4) Execution of orders on behalf of clients (Notification 0090309/15 of 24/11/2015)

5) Portfolio management (Notification 0090309/15 of 24/11/2015)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0090309/15 of 24/11/2015)

7) Dealing on own account (Notification 0090586/19 of 19/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SKDHONSI LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 Dukes Ride</td>
</tr>
<tr>
<td>City:</td>
<td>SI9 7le - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002411/17 of 10/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4535</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002411/17 of 10/01/2017)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0002411/17 of 10/01/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0002411/17 of 10/01/2017)
4) Investment advice (Notification 0002411/17 of 10/01/2017)
5) Execution of orders on behalf of clients (Notification 0002411/17 of 10/01/2017)
6) Portfolio management (Notification 0002411/17 of 10/01/2017)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002411/17 of 10/01/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **SKILLCAPITAL ADVISORY LLP**

Registered office: 62 Threadneedle Street

City: Ec2r 8hp - Londra

Country: Regno Unito

Notification of Registration: n. 10091611 of 04/11/2010

Registration no.: 3013

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10091611 of 04/11/2010)

2) Investment advice (Notification 10091611 of 04/11/2010)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10091611 of 04/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SKILLING LIMITED

Registered office: 62 Athalassas Avenue

City: 2012 - Strovolos

Country: Cipro

Notification of Registration: n. 0195036/18 of 08/06/2018

Registration no.: 4839

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0195036/18 of 08/06/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0195036/18 of 08/06/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0195036/18 of 08/06/2018)

4) Execution of orders on behalf of clients (Notification 0195036/18 of 08/06/2018)

5) Dealing on own account (Notification 0195036/18 of 08/06/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0195036/18 of 08/06/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SKY HARBOR CAPITAL MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>An Der Welle 4</td>
</tr>
<tr>
<td>City:</td>
<td>60322 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102609/17 of 30/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4673</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0102609/17 of 30/08/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102609/17 of 30/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SKYBOUND CAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Bruton Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1J 6QU - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11100336 of 21/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3328</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 11100336 of 21/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 5012682 of 01/03/2005)
2) Investment advice (Notification 5012682 of 01/03/2005)
3) Execution of orders on behalf of clients (Notification 5012682 of 01/03/2005)
4) Portfolio management (Notification 5012682 of 01/03/2005)
5) Dealing on own account (Notification 5012682 of 01/03/2005)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 5012682 of 01/03/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SM CAPITAL MARKETS LTD

Registered office: 219 Archiepiskopou Makariou Avenue

City: 3105 - Limassol

Country: Cipro

Notification of Registration: n. 0054431/18 of 28/02/2018

Registration no.: 4779

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0054431/18 of 28/02/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0054431/18 of 28/02/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0054431/18 of 28/02/2018)

4) Execution of orders on behalf of clients (Notification 0054431/18 of 28/02/2018)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054431/18 of 28/02/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMART GLOBAL TRADING CONSULTING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Breakspear Way, Breakspear Park</td>
</tr>
<tr>
<td>City:</td>
<td>Hp2 4tz - Hemel Hempstead</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13007085 of 28/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3611</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13007085 of 28/01/2013)
2) Investment advice (Notification 13007085 of 28/01/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13007085 of 28/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMBC DERIVATIVE PRODUCTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>99 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 4eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>282</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96000620 of 03/01/1996)
3) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority [website](example.com) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMBC NIKKO CAPITAL MARKETS EUROPE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Neue Mainzer Strasse 52-58</td>
</tr>
<tr>
<td>City:</td>
<td>60311 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0129660/19 of 08/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4970</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0129660/19 of 08/03/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0129660/19 of 08/03/2019)

3) Services related to underwriting (Notification 0129660/19 of 08/03/2019)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0129660/19 of 08/03/2019)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0129660/19 of 08/03/2019)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0129660/19 of 08/03/2019)

7) Placing of financial instruments without a firm commitment basis (Notification 0129660/19 of 08/03/2019)

8) Investment advice (Notification 0129660/19 of 08/03/2019)

9) Execution of orders on behalf of clients (Notification 0129660/19 of 08/03/2019)

10)Dealing on own account (Notification 0129660/19 of 08/03/2019)

11)Reception and transmission of orders in relation to one or more financial instruments (Notification 0129660/19 of 08/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SMBC NIKKO CAPITAL MARKETS LIMITED

Investment firm:

Registered office: One New Change

City: Ec4m 9af - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 283

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10077776 of 22/09/2010)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Services related to underwriting (Notification 7107488 of 06/12/2007)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7107488 of 06/12/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7107488 of 06/12/2007)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7107488 of 06/12/2007)

7) Placing of financial instruments without a firm commitment basis (Notification 7107488 of 06/12/2007)

8) Dealing on own account (Notification 7107488 of 06/12/2007)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 7107488 of 06/12/2007)

10) Investment advice (Notification 96000620 of 03/01/1996)

11) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMITH &amp; PINCHING FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>295 Aylsham Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nr32ry - Norwich</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094865/13 of 09/12/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3875</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0094865/13 of 09/12/2013)
2) Investment advice (Notification 0094865/13 of 09/12/2013)
3) Execution of orders on behalf of clients (Notification 0094865/13 of 09/12/2013)
4) Portfolio management (Notification 0094865/13 of 09/12/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094865/13 of 09/12/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMITH &amp; WILLIAMSON FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7107045 of 05/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2056</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7107045 of 05/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SMITH & WILLIAMSON INVESTMENT MANAGEMENT (EUROPE) LIMITED

Registered office: 12 Herbert Street Dublin 2

City: - Dublino

Country: Irlanda

Notification of Registration: n. 0239447/19 of 02/05/2019

Registration no.: 5026

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0239447/19 of 02/05/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0239447/19 of 02/05/2019)

3) Investment advice (Notification 0239447/19 of 02/05/2019)

4) Portfolio management (Notification 0239447/19 of 02/05/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0239447/19 of 02/05/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SMITH &amp; WILLIAMSON INVESTMENT MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 6ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0056684/14 of 07/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3992</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0056684/14 of 07/07/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0056684/14 of 07/07/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0056684/14 of 07/07/2014)

4) Investment advice (Notification 0056684/14 of 07/07/2014)

5) Execution of orders on behalf of clients (Notification 0056684/14 of 07/07/2014)

6) Portfolio management (Notification 0056684/14 of 07/07/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0056684/14 of 07/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: SMITH & WILLIAMSON INVESTMENT SERVICES LIMITED

Registered office: 25 Moorgate

City: Ec2r 6ay - Londra

Country: Regno Unito

Notification of Registration: n. 7018838 of 05/03/2007

Registration no.: 1768

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0835635/19 of 24/12/2019)

2) Dealing on own account (Notification 0835635/19 of 24/12/2019)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7018838 of 05/03/2007)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 7018838 of 05/03/2007)

5) Investment advice (Notification 7018838 of 05/03/2007)

6) Execution of orders on behalf of clients (Notification 7018838 of 05/03/2007)

7) Portfolio management (Notification 7018838 of 05/03/2007)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 7018838 of 05/03/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12076039 of 24/09/2012)
2) Execution of orders on behalf of clients (Notification 12076039 of 24/09/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12076039 of 24/09/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOCIETE GENERALE INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bishops Square</td>
</tr>
<tr>
<td>City:</td>
<td>E1 6eg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11073045 of 23/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3236</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 11073045 of 23/08/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11073045 of 23/08/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11073045 of 23/08/2011)

4) Services related to underwriting (Notification 11073045 of 23/08/2011)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11073045 of 23/08/2011)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 11073045 of 23/08/2011)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11073045 of 23/08/2011)

8) Placing of financial instruments without a firm commitment basis (Notification 11073045 of 23/08/2011)

9) Investment advice (Notification 11073045 of 23/08/2011)

10) Execution of orders on behalf of clients (Notification 11073045 of 23/08/2011)

11) Dealing on own account (Notification 11073045 of 23/08/2011)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 11073045 of 23/08/2011)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SODITIC LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Brettenham House, Lancaster Place</td>
</tr>
<tr>
<td>City:</td>
<td>WC2E 7EQ - London</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96039218 of 03/05/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>915</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 3074117 of 13/11/2003)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Investment advice (Notification 96039218 of 03/05/1996)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96039218 of 03/05/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOLERTIA CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5110</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0606228/19 of 07/10/2019)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0606228/19 of 07/10/2019)

3) Investment advice (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SOLID FINANCIAL SERVICES LTD

Registered office: 15 K Paparegopoulos Street

City: 3106 - Limassol

Country: Cipro

Notification of Registration: n. 10030691 of 06/04/2010

Registration no.: 2824

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10030691 of 06/04/2010)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10030691 of 06/04/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10030691 of 06/04/2010)

4) Dealing on own account (Notification 10030691 of 06/04/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10030691 of 06/04/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOLIUM CAPITAL UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Lansdowne Road -</td>
</tr>
<tr>
<td>City:</td>
<td>Cr0 2bx - Croydon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13013336 of 18/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3639</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0005714/15 of 26/01/2015)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13013336 of 18/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOLVENTIS, AV, S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>C/O Pedro I Pons 9-11</td>
</tr>
<tr>
<td>City:</td>
<td>08034 - Barcellona</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12060626 of 19/07/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3473</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12060626 of 19/07/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12060626 of 19/07/2012)

3) Placing of financial instruments without a firm commitment basis (Notification 12060626 of 19/07/2012)

4) Investment advice (Notification 12060626 of 19/07/2012)

5) Portfolio management (Notification 12060626 of 19/07/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12060626 of 19/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SONAF BUSINESS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>133 Arch. Makarios Iii Avenue Classic House</td>
</tr>
<tr>
<td>City:</td>
<td>3021 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12084765 of 25/10/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3540</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 12084765 of 25/10/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12084765 of 25/10/2012)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12084765 of 25/10/2012)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 12084765 of 25/10/2012)

5) Execution of orders on behalf of clients (Notification 12084765 of 25/10/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12084765 of 25/10/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SORBUS PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 The Malthouse - Water Street</td>
</tr>
<tr>
<td>City:</td>
<td>St162ag - Stafford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12098041 of 18/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3579</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12098041 of 18/12/2012)
2) Investment advice (Notification 12098041 of 18/12/2012)
3) Execution of orders on behalf of clients (Notification 12098041 of 18/12/2012)
4) Portfolio management (Notification 12098041 of 18/12/2012)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12098041 of 18/12/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOUTHEASTERN ASSET MANAGEMENT INTERNATIONAL (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>37 Upper Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 7ql - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8085534 of 16/09/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2415</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8085534 of 16/09/2008)

2) Investment advice (Notification 8085534 of 16/09/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8085534 of 16/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SOUTHEY CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 Chislehurst Road</td>
</tr>
<tr>
<td>City:</td>
<td>Br1 2nn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0053376/16 of 08/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4399</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0053376/16 of 08/06/2016)
2) Execution of orders on behalf of clients (Notification 0053376/16 of 08/06/2016)
3) Dealing on own account (Notification 0053376/16 of 08/06/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053376/16 of 08/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SOVA CAPITAL LIMITED

Registered office: 88 Wood Street

City: Ec2v 7rs - Londra

Country: Regno Unito

Notification of Registration: n. 8012949 of 12/02/2008

Registration no.: 2206

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12019934 of 19/03/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8012949 of 12/02/2008)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8012949 of 12/02/2008)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 8012949 of 12/02/2008)

5) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8012949 of 12/02/2008)

6) Placing of financial instruments without a firm commitment basis (Notification 8012949 of 12/02/2008)

7) Investment advice (Notification 8012949 of 12/02/2008)

8) Execution of orders on behalf of clients (Notification 8012949 of 12/02/2008)

9) Portfolio management (Notification 8012949 of 12/02/2008)

10) Dealing on own account (Notification 8012949 of 12/02/2008)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 8012949 of 12/02/2008)

12) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8077913 of 19/08/2008)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**Date 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPA FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Karpenisi Street</td>
</tr>
<tr>
<td>City:</td>
<td>1077 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11069135 of 03/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3227</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11069135 of 03/08/2011)

2) Investment advice (Notification 11069135 of 03/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPARROWS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22, Manchester Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 3pt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065477/14 of 05/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4007</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065477/14 of 05/08/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0065477/14 of 05/08/2014)
3) Investment advice (Notification 0065477/14 of 05/08/2014)
4) Execution of orders on behalf of clients (Notification 0065477/14 of 05/08/2014)
5) Portfolio management (Notification 0065477/14 of 05/08/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065477/14 of 05/08/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPAYNE LINDSAY &amp; CO. LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15-17 John Adam Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 6lu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7091713 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1911</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7091713 of 01/11/2007)
2) Investment advice (Notification 7091713 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7091713 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPECTRA FX SOLUTIONS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St Peters House 130 Wood Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 6dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10102658 of 17/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3041</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10102658 of 17/12/2010)
2) Execution of orders on behalf of clients (Notification 10102658 of 17/12/2010)
3) Dealing on own account (Notification 10102658 of 17/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPEIRS &amp; JEFFREY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Renfield Street</td>
</tr>
<tr>
<td>City:</td>
<td>G2 1na - Glasgow</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>468</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
4) Investment advice (Notification 96000620 of 03/01/1996)
5) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
6) Portfolio management (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPINNAKER CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0048918/15 of 17/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4191</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0048918/15 of 17/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPIRE PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>86 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13007981 of 28/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3616</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Placing of financial instruments without a firm commitment basis (Notification 0026386/15 of 07/04/2015)
2. Execution of orders on behalf of clients (Notification 0071334/15 of 11/09/2015)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0071334/15 of 11/09/2015)
4. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13007981 of 28/01/2013)
5. Investment advice (Notification 13007981 of 28/01/2013)
6. Portfolio management (Notification 13007981 of 28/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPIRIT ASSET MANAGEMENT SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31-33 Avenue Pasteur</td>
</tr>
<tr>
<td>City:</td>
<td>L2311 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0011149/15 of 16/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4102</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0011149/15 of 16/02/2015)
2) Investment advice (Notification 0011149/15 of 16/02/2015)
3) Execution of orders on behalf of clients (Notification 0011149/15 of 16/02/2015)
4) Portfolio management (Notification 0011149/15 of 16/02/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0011149/15 of 16/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPREAD CO LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1st Floor North Argyle House Joel Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ha6 1In - Middlesex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6100289 of 21/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1743</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 6100289 of 21/12/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPREADEX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Icknield House, 40 West Street</td>
</tr>
<tr>
<td>City:</td>
<td>Lu6 1ta - Dunstable</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2058264 of 22/08/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1292</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 2058264 of 22/08/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0105616/19 of 26/02/2019)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0105616/19 of 26/02/2019)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0105616/19 of 26/02/2019)

4) Services related to underwriting (Notification 0105616/19 of 26/02/2019)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0105616/19 of 26/02/2019)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0105616/19 of 26/02/2019)

7) Investment advice (Notification 0105616/19 of 26/02/2019)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105616/19 of 26/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SPRINGWOOD CAPITAL (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Flat 45, Berkeley Court, Marylebone Road</td>
</tr>
<tr>
<td>City:</td>
<td>Nw1 5nb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 74551/13 of 16/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3810</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 74551/13 of 16/09/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 74551/13 of 16/09/2013)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 74551/13 of 16/09/2013)

4) Placing of financial instruments without a firm commitment basis (Notification 74551/13 of 16/09/2013)

5) Investment advice (Notification 74551/13 of 16/09/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 74551/13 of 16/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUARE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Calder House 1 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4la - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8001209 of 07/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2153</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8001209 of 07/01/2008)
2) Investment advice (Notification 8001209 of 07/01/2008)
3) Execution of orders on behalf of clients (Notification 8001209 of 07/01/2008)
4) Portfolio management (Notification 8001209 of 07/01/2008)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8001209 of 07/01/2008)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **SQUARE GLOBAL LTD**

Registered office: Empire House, 175 Piccadilly

City: W1j 9en - Londra

Country: Regno Unito

Notification of Registration: n. 0046731/15 of 09/06/2015

Registration no.: 4183

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0001883/18 of 08/01/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0046731/15 of 09/06/2015)
3) Investment advice (Notification 0046731/15 of 09/06/2015)
4) Execution of orders on behalf of clients (Notification 0046731/15 of 09/06/2015)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0046731/15 of 09/06/2015)
6) Dealing on own account (Notification 0100122/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUARE GLOBAL SAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Avenue Delcasse'</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0800107/19 of 12/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5140</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0800107/19 of 12/12/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0800107/19 of 12/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUARE MILE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42-44 Grosvenor Gardens Belgravia</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 0eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0407709/19 of 12/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5053</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0407709/19 of 12/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUARED FINANCIAL (CY) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kedrou 9, Mezanine, Mesa Geitonia</td>
</tr>
<tr>
<td>City:</td>
<td>4004 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105411/17 of 11/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4671</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0105411/17 of 11/09/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0105411/17 of 11/09/2017)
3) Execution of orders on behalf of clients (Notification 0105411/17 of 11/09/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0105411/17 of 11/09/2017)
5) Portfolio management (Notification 0131326/18 of 30/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUARED LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Connaught Place</td>
</tr>
<tr>
<td>City:</td>
<td>W2 2et - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0334846/19 of 11/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5036</td>
</tr>
</tbody>
</table>

## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0334846/19 of 11/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SQUAWKER LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Birchin Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9du - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13003915 of 15/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3602</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Dealing on own account (Notification 0100395/17 of 18/08/2017)
2. Execution of orders on behalf of clients (Notification 13003915 of 15/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SRI CAPITAL ADVISERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Canada Square</td>
</tr>
<tr>
<td>City:</td>
<td>E14 5aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10002191 of 13/01/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2753</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10002191 of 13/01/2010)
2) Investment advice (Notification 10002191 of 13/01/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10002191 of 13/01/2010)
4) Placing of financial instruments without a firm commitment basis (Notification 10076908 of 17/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SRP RISK & FINANCE LLP

Registered office: 1 Bellevue Road

City: Sw17 7eg - Londra

Country: Regno Unito

Notification of Registration: n. 9069410 of 24/07/2009

Registration no.: 2642

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9069410 of 24/07/2009)
2) Investment advice (Notification 9069410 of 24/07/2009)
3) Execution of orders on behalf of clients (Notification 9069410 of 24/07/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9069410 of 24/07/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>SSE TRADING LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Grampian House 200 Dunkeld Road</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ph1 3gh - Perth</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 7095892 of 01/11/2007</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1901</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 7095892 of 01/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7095892 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>S.S.I.F. BLUE ROCK FINANCIAL SERVICES S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Aurel Vlaicu Street 2nd District</td>
</tr>
<tr>
<td>City:</td>
<td>- Bucarest</td>
</tr>
<tr>
<td>Country:</td>
<td>Romania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072356/14 of 08/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4029</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0072356/14 of 08/09/2014)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0072356/14 of 08/09/2014)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0072356/14 of 08/09/2014)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072356/14 of 08/09/2014)

5) Services related to underwriting (Notification 0072356/14 of 08/09/2014)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0072356/14 of 08/09/2014)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0072356/14 of 08/09/2014)

8) Placing of financial instruments without a firm commitment basis (Notification 0072356/14 of 08/09/2014)

9) Investment advice (Notification 0072356/14 of 08/09/2014)

10) Execution of orders on behalf of clients (Notification 0072356/14 of 08/09/2014)

11) Portfolio management (Notification 0072356/14 of 08/09/2014)

12) Dealing on own account (Notification 0072356/14 of 08/09/2014)

13) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072356/14 of 08/09/2014)
Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SSW MARKET MAKING GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Am Knick 4</td>
</tr>
<tr>
<td>City:</td>
<td>22113 - Oststeinbek</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0109236/17 of 22/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4682</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0109236/17 of 22/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SSY FUTURES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Portsoken Street</td>
</tr>
<tr>
<td>City:</td>
<td>E1 8ph - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9083021 of 22/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2678</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9083021 of 22/09/2009)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9083021 of 22/09/2009)
3) Investment advice (Notification 9083021 of 22/09/2009)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 9083021 of 22/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ST JOHNS ASSET MANAGEMENT LIMITED

Registered office: Afh House Buntsford Drive Stoke Heath

City: B604je - Londra

Country: Regno Unito

Notification of Registration: n. 0050043/16 of 30/05/2016

Registration no.: 4392

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050043/16 of 30/05/2016)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0050043/16 of 30/05/2016)
3) Investment advice (Notification 0050043/16 of 30/05/2016)
4) Execution of orders on behalf of clients (Notification 0050043/16 of 30/05/2016)
5) Portfolio management (Notification 0050043/16 of 30/05/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050043/16 of 30/05/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ST. LAWRENCE INVESTMENT &amp; PENSION SOLUTIONS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Lombard House 12-17 Upper Bridge Street Kent</td>
</tr>
<tr>
<td>City:</td>
<td>Ct1 2nf - Canterbury</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7107049 of 05/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2096</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7107049 of 05/12/2007)
2) Investment advice (Notification 7107049 of 05/12/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7107049 of 05/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STAFFORD PRIVATE EQUITY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Old Bond Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0057666/13 of 03/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3738</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0057666/13 of 03/07/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0057666/13 of 03/07/2013)
3) Investment advice (Notification 0057666/13 of 03/07/2013)
4) Execution of orders on behalf of clients (Notification 0057666/13 of 03/07/2013)
5) Portfolio management (Notification 0057666/13 of 03/07/2013)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0057666/13 of 03/07/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STAMFORD ASSOCIATES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rotherwick House 19-21 Old Bond Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4px - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0062391/14 of 25/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4005</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0062391/14 of 25/07/2014)  
2) Investment advice (Notification 0062391/14 of 25/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STAMFORD PARTNERS LLP

Registered office: Berkeley Square

City: W1j 6bu - Londra

Country: Regno Unito

Notification of Registration: n. 10027319 of 26/03/2010

Registration no.: 2819

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10027319 of 26/03/2010)
2) Investment advice (Notification 10027319 of 26/03/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10027319 of 26/03/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STANDARD ADVISORY LONDON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7je - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0098614/14 of 24/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4078</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0098614/14 of 24/12/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098614/14 of 24/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STANDARD ADVISORY SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>171 Old Bakery Street</td>
</tr>
<tr>
<td>City:</td>
<td>- Valletta</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0258903/18 of 16/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4853</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0258903/18 of 16/07/2018)
2) Portfolio management (Notification 0258903/18 of 16/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>STANDARD LIFE INVESTMENTS LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>1 George Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Eh2 2ll - Edimburgo</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 9084408 of 29/09/2009</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2683</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 9084408 of 29/09/2009)
2) Portfolio management (Notification 9084408 of 29/09/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STARGATE CORPORATE FINANCE LTD

Registered office: 72 75 Red Lion Street

City: Wc1r 4gb - Londra

Country: Regno Unito

Notification of Registration: n. 0054760/15 of 08/07/2015

Registration no.: 4205

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0054760/15 of 08/07/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0054760/15 of 08/07/2015)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlyng of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0054760/15 of 08/07/2015)

4) Investment advice (Notification 0054760/15 of 08/07/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054760/15 of 08/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STARMARK INVESTMENT MANAGEMENT LIMITED

Registered office: Dawson House 5 Jewry Street

City: Ec3n 2ex - Londra

Country: Regno Unito

Notification of Registration: n. 0070723/16 of 29/07/2016

Registration no.: 4436

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070723/16 of 29/07/2016)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0070723/16 of 29/07/2016)
3) Investment advice (Notification 0070723/16 of 29/07/2016)
4) Execution of orders on behalf of clients (Notification 0070723/16 of 29/07/2016)
5) Portfolio management (Notification 0070723/16 of 29/07/2016)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070723/16 of 29/07/2016)
7) Dealing on own account (Notification 0101567/17 of 24/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STARWOOD CAPITAL EUROPE ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Eagle Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0370577/19 of 26/06/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5044</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0370577/19 of 26/06/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0370577/19 of 26/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STATE STREET EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Churchill Place Canary Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E145hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0247677/18 of 09/07/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4849</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0247677/18 of 09/07/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0247677/18 of 09/07/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0247677/18 of 09/07/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0247677/18 of 09/07/2018)

5) Services related to underwriting (Notification 0247677/18 of 09/07/2018)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0247677/18 of 09/07/2018)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0247677/18 of 09/07/2018)

8) Investment advice (Notification 0247677/18 of 09/07/2018)

9) Execution of orders on behalf of clients (Notification 0247677/18 of 09/07/2018)

10) Portfolio management (Notification 0247677/18 of 09/07/2018)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0247677/18 of 09/07/2018)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STATE STREET GLOBAL ADVISORS IRELAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>78 Sir John Rogerson’S Quay</td>
</tr>
<tr>
<td>City:</td>
<td>Dublin2 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96035588 of 24/04/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>906</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 96035588 of 24/04/1996)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 96062267 of 23/07/1996)
3) Investment advice (Notification 96062267 of 23/07/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96062267 of 23/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **STATE STREET GLOBAL ADVISORS LIMITED**

**Registered office:** 20 Churchill Place

**City:** E14 5hj - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 96056590 of 01/07/1996

**Registration no.:** 888

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 96056590 of 01/07/1996)

3) Investment advice (Notification 96056590 of 01/07/1996)

4) Execution of orders on behalf of clients (Notification 96056590 of 01/07/1996)

5) Portfolio management (Notification 96056590 of 01/07/1996)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STATE STREET GLOBAL MARKETS INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Churchill Place Canary Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E145hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1004220 of 22/01/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1082</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 1004220 of 22/01/2001)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 1004220 of 22/01/2001)
3) Investment advice (Notification 2072144 of 05/11/2002)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7000018 of 02/01/2007)
5) Dealing on own account (Notification 7000018 of 02/01/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STATER GLOBAL MARKETS LIMITED

Registered office: 107, Cheapside London

City: Ec2v 6dn - Londra

Country: Regno Unito

Notification of Registration: n. 0022772/15 of 30/03/2015

Registration no.: 4143

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0022772/15 of 30/03/2015)

2) Placing of financial instruments without a firm commitment basis (Notification 0022772/15 of 30/03/2015)

3) Execution of orders on behalf of clients (Notification 0022772/15 of 30/03/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022772/15 of 30/03/2015)

5) Dealing on own account (Notification 0101119/17 of 23/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11097861 of 09/12/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11097861 of 09/12/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11097861 of 09/12/2011)

4) Investment advice (Notification 11097861 of 09/12/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11097861 of 09/12/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STELLA CAPITAL ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>64 Sloane Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 9sh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11068807 of 02/08/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3224</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11068807 of 02/08/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11068807 of 02/08/2011)

3) Placing of financial instruments without a firm commitment basis (Notification 11068807 of 02/08/2011)

4) Investment advice (Notification 11068807 of 02/08/2011)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11068807 of 02/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STENHAM ASSET MANAGEMENT (UK) PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 John Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1n 2eu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7021279 of 12/03/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1774</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7021279 of 12/03/2007)  
2) Portfolio management (Notification 7021279 of 12/03/2007)  
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STEPHENS EUROPE LIMITED

Registered office: 36-38 Cornhill
City: Ec3v 3ng - Londra
Country: Regno Unito
Notification of Registration: n. 0046952/16 of 20/05/2016
Registration no.: 4385

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0046952/16 of 20/05/2016)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0046952/16 of 20/05/2016)
3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0046952/16 of 20/05/2016)
4) Investment advice (Notification 0046952/16 of 20/05/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0046952/16 of 20/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm:  STEPSTONE GROUP EUROPE LLP

Registered office:  57 St James’S Street

City:  Sw1a1ld - Londra

Country:  Regno Unito

Notification of Registration:  n. 0082494/14 of 17/10/2014

Registration no.:  4048

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0082494/14 of 17/10/2014)

2) Investment advice (Notification 0082494/14 of 17/10/2014)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0082494/14 of 17/10/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STEVENS ET DDE MUNTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>120 Boulevard De La Petrusse</td>
</tr>
<tr>
<td>City:</td>
<td>2320 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068709/14 of 18/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4018</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068709/14 of 18/08/2014)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0068709/14 of 18/08/2014)
3) Investment advice (Notification 0068709/14 of 18/08/2014)
4) Execution of orders on behalf of clients (Notification 0068709/14 of 18/08/2014)
5) Portfolio management (Notification 0068709/14 of 18/08/2014)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068709/14 of 18/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
STIFEL NICOLAUS EUROPE LIMITED

150 Cheapside

Ec2v 6et - Londra

Regno Unito

n. 99070040 of 24/09/1999

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 0051478/14 of 19/06/2014)
2) Placing of financial instruments without a firm commitment basis (Notification 0051478/14 of 19/06/2014)
3) Execution of orders on behalf of clients (Notification 0051478/14 of 19/06/2014)
4) Dealing on own account (Notification 0051478/14 of 19/06/2014)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8055262 of 10/06/2008)
7) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99070040 of 24/09/1999)
8) Investment advice (Notification 99070040 of 24/09/1999)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 99070040 of 24/09/1999)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>STJ ADVISORS GROUP LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Floor 1 Eagle House, 108-110 Jermyn Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Sw1y6ha - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0256186/18 of 13/07/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4851</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0256186/18 of 13/07/2018)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0256186/18 of 13/07/2018)
3) Services related to underwriting (Notification 0256186/18 of 13/07/2018)
4) Investment advice (Notification 0256186/18 of 13/07/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0256186/18 of 13/07/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STOCKCUBE RESEARCH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kings Road, Plaza 535</td>
</tr>
<tr>
<td>City:</td>
<td>Sw10 0sz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 20366 of 15/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>987</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 20366 of 15/03/2000)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STOCKS FOREX AF LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>38, Georgiou Karaiskaki, Kanika Alexander Center</td>
</tr>
<tr>
<td>City:</td>
<td>3032 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0113893/16 of 28/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4529</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0113893/16 of 28/12/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0113893/16 of 28/12/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0113893/16 of 28/12/2016)

4) Execution of orders on behalf of clients (Notification 0113893/16 of 28/12/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0113893/16 of 28/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STONE HARBOR INVESTMENT PARTNERS (UK), LLP

Registered office: 48 Dover Street

City: W1s 4ff - Londra

Country: Regno Unito

Notification of Registration: n. 11053000 of 10/06/2011

Registration no.: 3169

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0056272/14 of 04/07/2014)
2) Investment advice (Notification 11053000 of 10/06/2011)
3) Portfolio management (Notification 11053000 of 10/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **STONEWARE CAPITAL LLP**

Registered office: 9 Althorp Road

City: Sw177ed - Londra

Country: Regno Unito

Notification of Registration: n. 13046434 of 27/05/2013

Registration no.: 3717

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0167244/19 of 29/03/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0167244/19 of 29/03/2019)

3) Execution of orders on behalf of clients (Notification 0167244/19 of 29/03/2019)

4) Portfolio management (Notification 0167244/19 of 29/03/2019)

5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13046434 of 27/05/2013)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13046434 of 27/05/2013)

7) Investment advice (Notification 13046434 of 27/05/2013)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13046434 of 27/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: STORMHARBOUR ALTERNATIVE INVESTMENTS LLP

Registered office: 10 Old Burlington Street

City: W1s 3ag - Londra

Country: Regno Unito

Notification of Registration: n. 0028956/18 of 06/02/2018

Registration no.: 4769

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0028956/18 of 06/02/2018)
2) Portfolio management (Notification 0028956/18 of 06/02/2018)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: STORMHARBOUR SECURITIES LLP

Registered office: 10 Old Burlington Street

City: W1s 3ag - Londra

Country: Regno Unito

Notification of Registration: n. 10028011 of 29/03/2010

Registration no.: 2820

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0098538/17 of 09/08/2017)
2) Placing of financial instruments without a firm commitment basis (Notification 0183321/18 of 01/06/2018)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10028011 of 29/03/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10028011 of 29/03/2010)
5) Investment advice (Notification 10028011 of 29/03/2010)
6) Execution of orders on behalf of clients (Notification 10028011 of 29/03/2010)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10028011 of 29/03/2010)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10029991 of 01/04/2010)
2) Investment advice (Notification 10029991 of 01/04/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10029991 of 01/04/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STRAND CAPITAL LIMITED

Registered office: 1 Southampton Street

City: WC2R 0LR - Londra

Country: Regno Unito

Notification of Registration: n. 9083848 of 25/09/2009

Registration no.: 2680

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9083848 of 25/09/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9083848 of 25/09/2009)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 9083848 of 25/09/2009)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 9083848 of 25/09/2009)

5) Placing of financial instruments without a firm commitment basis (Notification 9083848 of 25/09/2009)

6) Investment advice (Notification 9083848 of 25/09/2009)

7) Execution of orders on behalf of clients (Notification 9083848 of 25/09/2009)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9083848 of 25/09/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STRATA GLOBAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>110 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 4ay - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12048049 of 06/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3441</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12048049 of 06/06/2012)

2) Investment advice (Notification 12048049 of 06/06/2012)

3) Execution of orders on behalf of clients (Notification 12048049 of 06/06/2012)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12048049 of 06/06/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STRATA TECHNOLOGY PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Hans Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw3 1rt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3014543 of 05/03/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1346</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment advice (Notification 3014543 of 05/03/2003)</td>
</tr>
<tr>
<td>2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3014543 of 05/03/2003)</td>
</tr>
<tr>
<td>3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5068415 of 18/10/2005)
2) Services related to underwriting (Notification 5068415 of 18/10/2005)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 5068415 of 18/10/2005)
4) Investment advice (Notification 5068415 of 18/10/2005)
5) Execution of orders on behalf of clients (Notification 5068415 of 18/10/2005)
6) Portfolio management (Notification 5068415 of 18/10/2005)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 5068415 of 18/10/2005)
8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STRATEGIC WEALTH UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Brook House, Shotton, Deeside</td>
</tr>
<tr>
<td>City:</td>
<td>Ch5 1hl - Clwyd</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8106321 of 21/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2473</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8106321 of 21/11/2008)
2) Investment advice (Notification 8106321 of 21/11/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8106321 of 21/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: STREAMS FINANCIAL SERVICES LTD

Registered office: 284 Makarios Avenue

City: 3105 - Limassol

Country: Cipro

Notification of Registration: n. 0624707/19 of 14/10/2019

Registration no.: 5124

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0624707/19 of 14/10/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0624707/19 of 14/10/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0624707/19 of 14/10/2019)

4) Execution of orders on behalf of clients (Notification 0624707/19 of 14/10/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0624707/19 of 14/10/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STREET ANALYSTS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Harley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 8qp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0444304/19 of 30/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5057</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0444304/19 of 30/07/2019)
2) Investment advice (Notification 0444304/19 of 30/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STREETWISE CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Duncannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2n 4jf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6030859 of 05/04/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1634</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 6030859 of 05/04/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6030859 of 05/04/2006)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STRENUUS CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Room 3.05 Linen Hall 162- 168 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5td - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 98076186 of 28/09/1998</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>726</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Services related to underwriting (Notification 98076186 of 28/09/1998)
3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98076186 of 28/09/1998)
4) Placing of financial instruments without a firm commitment basis (Notification 98076186 of 28/09/1998)
5) Investment advice (Notification 98076186 of 28/09/1998)
6) Execution of orders on behalf of clients (Notification 98076186 of 28/09/1998)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 98076186 of 28/09/1998)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
STURGEON CAPITAL LTD

Investment firm: STURGEON CAPITAL LTD

Registered office: 4 Bourlet Close

City: W1w 7bj - Londra

Country: Regno Unito

Notification of Registration: n. 0005505/14 of 23/01/2014

Registration no.: 3897

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0005505/14 of 23/01/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0005505/14 of 23/01/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0005505/14 of 23/01/2014)

4) Investment advice (Notification 0005505/14 of 23/01/2014)

5) Execution of orders on behalf of clients (Notification 0005505/14 of 23/01/2014)

6) Portfolio management (Notification 0005505/14 of 23/01/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0005505/14 of 23/01/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.


<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STURGEON VENTURES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2nd Floor, 9 Disraeli Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw152dr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6065681 of 02/08/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1685</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Services related to underwriting (Notification 0097891/13 of 20/12/2013)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0097891/13 of 20/12/2013)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6065681 of 02/08/2006)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 6065681 of 02/08/2006)
5) Investment advice (Notification 6065681 of 02/08/2006)
6) Execution of orders on behalf of clients (Notification 6065681 of 02/08/2006)
7) Portfolio management (Notification 6065681 of 02/08/2006)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 6065681 of 02/08/2006)
9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>STX FIXED INCOME B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Vijzelstraat 79a</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Hg - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13038751 of 07/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3696</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0022287/14 of 24/03/2014)
2) Execution of orders on behalf of clients (Notification 13038751 of 07/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0068817/17 of 19/05/2017)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0068817/17 of 19/05/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0068817/17 of 19/05/2017)

4) Portfolio management (Notification 0068817/17 of 19/05/2017)

5) Dealing on own account (Notification 0068817/17 of 19/05/2017)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 96059817 of 15/07/1996)

8) Investment advice (Notification 96059817 of 15/07/1996)

9) Execution of orders on behalf of clients (Notification 96059817 of 15/07/1996)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 96059817 of 15/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUMITOMO CORPORATION GLOBAL COMMODITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Vintners Place 68 Upper Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 3bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0127529/17 of 03/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4738</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0127529/17 of 03/01/2018)
2) Execution of orders on behalf of clients (Notification 0127529/17 of 03/01/2018)
3) Dealing on own account (Notification 0127529/17 of 03/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUMITOMO MITSUI TRUST INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Finsbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 1br - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9089197 of 19/10/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2698</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9089197 of 19/10/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9089197 of 19/10/2009)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9089197 of 19/10/2009)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 9089197 of 19/10/2009)

5) Investment advice (Notification 9089197 of 19/10/2009)

6) Execution of orders on behalf of clients (Notification 9089197 of 19/10/2009)

7) Portfolio management (Notification 9089197 of 19/10/2009)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9089197 of 19/10/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUMMA CAPITAL OY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bulevardi 6 A 9</td>
</tr>
<tr>
<td>City:</td>
<td>00120 - Helsinki</td>
</tr>
<tr>
<td>Country:</td>
<td>Finlandia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12053231 of 22/06/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3458</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12053231 of 22/06/2012)

2) Services related to underwriting (Notification 12053231 of 22/06/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12053231 of 22/06/2012)

4) Placing of financial instruments without a firm commitment basis (Notification 12053231 of 22/06/2012)

5) Investment advice (Notification 12053231 of 22/06/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12053231 of 22/06/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SUN GLOBAL INVESTMENTS LIMITED

Registered office: 34 Dover Street

City: W1s4ng - Londra

Country: Regno Unito

Notification of Registration: n. 0050044/16 of 30/05/2016

Registration no.: 4393

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0050044/16 of 30/05/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0050044/16 of 30/05/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0050044/16 of 30/05/2016)

4) Services related to underwriting (Notification 0050044/16 of 30/05/2016)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0050044/16 of 30/05/2016)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0050044/16 of 30/05/2016)

7) Placing of financial instruments without a firm commitment basis (Notification 0050044/16 of 30/05/2016)

8) Investment advice (Notification 0050044/16 of 30/05/2016)

9) Execution of orders on behalf of clients (Notification 0050044/16 of 30/05/2016)

10) Portfolio management (Notification 0050044/16 of 30/05/2016)

11) Dealing on own account (Notification 0050044/16 of 30/05/2016)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0050044/16 of 30/05/2016)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUN HUNG KAI FINANCIAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>64 Cannon Street 5th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0372133/18 of 26/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4877</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0372133/18 of 26/09/2018)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0372133/18 of 26/09/2018)
3) Investment advice (Notification 0372133/18 of 26/09/2018)
4) Execution of orders on behalf of clients (Notification 0372133/18 of 26/09/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0372133/18 of 26/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUNRISE BROKERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20, Triton Street</td>
</tr>
<tr>
<td>City:</td>
<td>Nw1 3bf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2044094 of 20/06/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1282</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0002213/18 of 09/01/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2044094 of 20/06/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUPERFUND ASSET MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Salzgries 15</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1064568 of 22/08/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1167</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 1064568 of 22/08/2001)
2) Portfolio management (Notification 1064568 of 22/08/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1064568 of 22/08/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUPRIS INVESTMENT- SERVICE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Karlauerguertel 1</td>
</tr>
<tr>
<td>City:</td>
<td>8020 - Graz</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 80402 of 27/10/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1069</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Services related to underwriting (Notification 80402 of 27/10/2000)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 80402 of 27/10/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: SUSQUEHANNA INTERNATIONAL SECURITIES LIMITED

Registered office: Merorial Road

City: Dublin1 - Dublino

Country: Irlanda

Notification of Registration: n. 3019096 of 25/03/2003

Registration no.: 1350

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10044155 of 14/05/2010)
2) Services related to underwriting (Notification 10044155 of 14/05/2010)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 3019096 of 25/03/2003)
4) Execution of orders on behalf of clients (Notification 3019096 of 25/03/2003)
5) Dealing on own account (Notification 3019096 of 25/03/2003)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 3019096 of 25/03/2003)
7) Investment advice (Notification 5037692 of 24/05/2005)
8) Placing of financial instruments without a firm commitment basis (Notification 5080352 of 06/12/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SUSSEX PARTNERS UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11098927 of 14/12/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3319</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11098927 of 14/12/2011)  
2) Reception and transmission of orders in relation to one or more financial instruments  
   (Notification 11098927 of 14/12/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SWISS CAPITAL WEALTH MANAGEMENT (LIECHTENSTEIN) AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kirchstrasse 3</td>
</tr>
<tr>
<td>City:</td>
<td>3490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025411/17 of 24/02/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4569</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0025411/17 of 24/02/2017)

2) Investment advice (Notification 0025411/17 of 24/02/2017)

3) Execution of orders on behalf of clients (Notification 0025411/17 of 24/02/2017)

4) Portfolio management (Notification 0025411/17 of 24/02/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025411/17 of 24/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SWISS INVESTMENT CORPORATION LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beaufort Court, Admirals Way</td>
</tr>
<tr>
<td>City:</td>
<td>E14 9xl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>469</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96000620 of 03/01/1996)
3) Services related to underwriting (Notification 96000620 of 03/01/1996)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
5) Investment advice (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0186549/19 of 05/04/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0186549/19 of 05/04/2019)

3) Services related to underwriting (Notification 0186549/19 of 05/04/2019)

4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0186549/19 of 05/04/2019)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0186549/19 of 05/04/2019)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0186549/19 of 05/04/2019)

7) Placing of financial instruments without a firm commitment basis (Notification 0186549/19 of 05/04/2019)

8) Execution of orders on behalf of clients (Notification 0186549/19 of 05/04/2019)

9) Dealing on own account (Notification 0186549/19 of 05/04/2019)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0186549/19 of 05/04/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRO DE EMPRESAS INVERSIONISTAS DE LA UE: SIN RAMAS

(DATE 10/01/2020)

Investment firm: SWISS RE CAPITAL MARKETS LIMITED

Registered office: 30 St Mary Axe

City: Ec3a 8ep - Londra

Country: Regno Unito

Notification of Registration: n. 92370 of 14/12/2000

Registration no.: 1066

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2003471 of 21/01/2002)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 2003471 of 21/01/2002)

3) 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 (Notification 3007014 of 05/02/2003)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7099933 of 09/11/2007)

6) Services related to underwriting (Notification 92370 of 14/12/2000)

7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 92370 of 14/12/2000)

8) Placing of financial instruments without a firm commitment basis (Notification 92370 of 14/12/2000)

9) Investment advice (Notification 92370 of 14/12/2000)

10) Execution of orders on behalf of clients (Notification 92370 of 14/12/2000)

11) Dealing on own account (Notification 92370 of 14/12/2000)

12) Reception and transmission of orders in relation to one or more financial instruments (Notification 92370 of 14/12/2000)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**Investment firm:** SWISSQUOTE FINANCIAL SERVICES (MALTA) LTD  
**Registered office:** Notabile Road, Mriehel. Fino Building  
**City:** Bkr 3000 - B’Kara  
**Country:** Malta  
**Notification of Registration:** n. 0117277/17 of 16/10/2017  
**Registration no.:** 4695

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0117277/17 of 16/10/2017)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0117277/17 of 16/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SWISSQUOTE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>63-64 New Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1jj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12043879 of 24/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3434</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099082/17 of 10/08/2017)
2) Dealing on own account (Notification 0099082/17 of 10/08/2017)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 12043879 of 24/05/2012)
4) Execution of orders on behalf of clients (Notification 12043879 of 24/05/2012)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12043879 of 24/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SWLAW INVESTMENT &amp; FINANCIAL PLANNING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kingsley Close, East Way, Lee Mill, Ivybridge</td>
</tr>
<tr>
<td>City:</td>
<td>PL21 9gd - Devon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7105478 of 30/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1879</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7105478 of 30/11/2007)
2) Investment advice (Notification 7105478 of 30/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7105478 of 30/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SYMBIOTICS NETHERLANDS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Meester Treublaan 7</td>
</tr>
<tr>
<td>City:</td>
<td>1097dp - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0159668/19 of 26/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4984</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0159668/19 of 26/03/2019)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0159668/19 of 26/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SYMBIOTICS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088527/14 of 11/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4059</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0088527/14 of 11/11/2014)
2) Investment advice (Notification 0088527/14 of 11/11/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0088527/14 of 11/11/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SYMVAN CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Elder Street</td>
</tr>
<tr>
<td>City:</td>
<td>E16bt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043017/16 of 11/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4382</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0043017/16 of 11/05/2016)

2) Placing of financial instruments without a firm commitment basis (Notification 0043017/16 of 11/05/2016)

3) Investment advice (Notification 0043017/16 of 11/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SYNDICATE ROOM LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>71 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>Cb21ab - Cambridge</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0097270/14 of 18/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4077</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
   *(Notification 0097270/14 of 18/12/2014)*

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>SYSTEMATICA INVESTMENTS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Equitable House 47 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 9af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120261/19 of 05/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4968</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0120261/19 of 05/03/2019)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0120261/19 of 05/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>SYSTRADE AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landstrasse 63</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Vaduz</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6099792 of 19/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1740</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6099792 of 19/12/2006)
2) Portfolio management (Notification 6099792 of 19/12/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6099792 of 19/12/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>T B PATTERSON ASSOCIATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Eshwood Hall, New Brancepeth, County Durham</td>
</tr>
<tr>
<td>City:</td>
<td>Dh7 7hg - Durham</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7105527 of 30/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2072</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7105527 of 30/11/2007)

2) Investment advice (Notification 7105527 of 30/11/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7105527 of 30/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>T. ROWE PRICE INTERNATIONAL LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>60 Queen Victoria Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec4n 4tz - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 10060104 of 05/07/2010</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>2903</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10060104 of 05/07/2010)
2) Investment advice (Notification 10060104 of 05/07/2010)
3) Execution of orders on behalf of clients (Notification 10060104 of 05/07/2010)
4) Portfolio management (Notification 10060104 of 05/07/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10060104 of 05/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TA ASSOCIATES (UK), LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Mayfair Place, Devonshire House</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8aj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13052469 of 14/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3728</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13052469 of 14/06/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13052469 of 14/06/2013)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 13052469 of 14/06/2013)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 13052469 of 14/06/2013)

5) Investment advice (Notification 13052469 of 14/06/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 13052469 of 14/06/2013)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TACCONIS ADVISORS &amp; CO LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>73 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6097343 of 11/12/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1732</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 6097343 of 11/12/2006)
2) Investment advice (Notification 6097343 of 11/12/2006)
3) Portfolio management (Notification 6097343 of 11/12/2006)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TACONIC CAPITAL ADVISORS UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 3hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7050971 of 01/06/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1798</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7050971 of 01/06/2007)
2) Investment advice (Notification 7050971 of 01/06/2007)
3) Execution of orders on behalf of clients (Notification 7050971 of 01/06/2007)
4) Portfolio management (Notification 7050971 of 01/06/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7050971 of 01/06/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TALBOT CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8dd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0071855/13 of 30/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3797</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0071855/13 of 30/08/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0071855/13 of 30/08/2013)
3) Investment advice (Notification 0071855/13 of 30/08/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0071855/13 of 30/08/2013)
5) Placing of financial instruments without a firm commitment basis (Notification 0088365/13 of 11/11/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TAMESIS ASSOCIATES LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Berkley Square House, Berkley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1J 6BD - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0037692/15 of 14/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4160</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0037692/15 of 14/05/2015)

2) Investment advice (Notification 0037692/15 of 14/05/2015)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0037692/15 of 14/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TAMESIS PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>New Liverpool House 3rd Floor Eldon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ecm2m7ld - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0112951/17 of 04/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4692</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0112951/17 of 04/10/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0112951/17 of 04/10/2017)

3) Placing of financial instruments without a firm commitment basis (Notification 0112951/17 of 04/10/2017)

4) Investment advice (Notification 0112951/17 of 04/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TANAGER WEALTH MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bridewell Gate, 9 Bridewell Place,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v Aw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045875/15 of 05/06/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4181</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0045875/15 of 05/06/2015)
2) Investment advice (Notification 0045875/15 of 05/06/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0045875/15 of 05/06/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TANKARD WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>136 Peckham Rye</td>
</tr>
<tr>
<td>City:</td>
<td>Se22 9qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0013409/16 of 16/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4324</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0013409/16 of 16/02/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TASSI & CO. LTD

Registered office: 64 Cathcart Road -

City: Sw10 9jq - Londra

Country: Regno Unito

Notification of Registration: n. 6055285 of 27/06/2006

Registration no.: 1672

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0084930/14 of 28/10/2014)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6055285 of 27/06/2006)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6055285 of 27/06/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TATA CAPITAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>30 Millbank</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1p 4wy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0021045/16 of 10/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4338</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0021045/16 of 10/03/2016)
2. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0021045/16 of 10/03/2016)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0021045/16 of 10/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TATE CONSULTANCY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Caranday Villas</td>
</tr>
<tr>
<td>City:</td>
<td>W11 4qn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10076515 of 16/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2973</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10076515 of 16/09/2010)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10076515 of 16/09/2010)
3) Investment advice (Notification 10076515 of 16/09/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10076515 of 16/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TAVISTOCK PRIVATE CLIENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Dane Street</td>
</tr>
<tr>
<td>City:</td>
<td>Cm23 3bt - Hertfordshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7096775 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1932</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0005799/14 of 24/01/2014)
2) Portfolio management (Notification 0005799/14 of 24/01/2014)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096775 of 01/11/2007)
4) Investment advice (Notification 7096775 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TAVISTOCK WEALTH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Bracknell Beeches Old Bracknell Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Rg127bw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0041329/16 of 06/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4377</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0041329/16 of 06/05/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0041329/16 of 06/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: T.C.R. INTERNATIONAL LTD

Registered office: Promitheos 14, Maristo House, 1st Floor

City: 1065 - Nicosia

Country: Cipro

Notification of Registration: n. 0095276/14 of 10/12/2014

Registration no.: 4069

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0044131/16 of 13/05/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0044131/16 of 13/05/2016)

3) Investment advice (Notification 0044131/16 of 13/05/2016)

4) Execution of orders on behalf of clients (Notification 0044131/16 of 13/05/2016)

5) Portfolio management (Notification 0044131/16 of 13/05/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095276/14 of 10/12/2014)

7) 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 (Notification 0641117/19 of 18/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TCW EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s1jf - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0003851/15 of 19/01/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4121</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0003851/15 of 19/01/2015)
2) Execution of orders on behalf of clients (Notification 0003851/15 of 19/01/2015)
3) Portfolio management (Notification 0003851/15 of 19/01/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0003851/15 of 19/01/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TD GLOBAL FINANCE UNLIMITED COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 2, Plaza 2, Custom House Plaza</td>
</tr>
<tr>
<td>City:</td>
<td>Ifsc - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99015859 of 08/03/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>762</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 2014311 of 01/03/2002)
2) Investment advice (Notification 99015859 of 08/03/1999)
3) Execution of orders on behalf of clients (Notification 99015859 of 08/03/1999)
4) Dealing on own account (Notification 99015859 of 08/03/1999)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 99015859 of 08/03/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TD SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>60 Threadneedle Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8ap - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1009661 of 09/02/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1096</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 1009661 of 09/02/2001)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 1009661 of 09/02/2001)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1009661 of 09/02/2001)
4) Services related to underwriting (Notification 1009661 of 09/02/2001)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 1009661 of 09/02/2001)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1009661 of 09/02/2001)
7) Placing of financial instruments without a firm commitment basis (Notification 1009661 of 09/02/2001)
8) Investment advice (Notification 1009661 of 09/02/2001)
9) Execution of orders on behalf of clients (Notification 1009661 of 09/02/2001)
10) Dealing on own account (Notification 1009661 of 09/02/2001)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 1009661 of 09/02/2001)
12) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

| Investment firm: | TECHNOLOGY CROSSOVER VENTURES UK, LLP |
| Registered office: | Berkeley Square House, Berkeley Square |
| City: | W1j 6bd - Londra |
| Country: | Regno Unito |
| Notification of Registration: | n. 12076029 of 24/09/2012 |
| Registration no.: | 3512 |

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12076029 of 24/09/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12076029 of 24/09/2012)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 12076029 of 24/09/2012)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 12076029 of 24/09/2012)

5) Investment advice (Notification 12076029 of 24/09/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12076029 of 24/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TEES FINANCIAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tees House 95 London Road</td>
</tr>
<tr>
<td>City:</td>
<td>Cm23 3gw - Hertford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099115 of 07/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1975</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099115 of 07/11/2007)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 7099115 of 07/11/2007)
3) Investment advice (Notification 7099115 of 07/11/2007)
4) Execution of orders on behalf of clients (Notification 7099115 of 07/11/2007)
5) Portfolio management (Notification 7099115 of 07/11/2007)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099115 of 07/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TELETRADE-DJ INTERNATIONAL CONSULTING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>88 Arch. Makarios Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1077 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12067095 of 09/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3483</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12067095 of 09/08/2012)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12067095 of 09/08/2012)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12067095 of 09/08/2012)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 12067095 of 09/08/2012)
5) Investment advice (Notification 12067095 of 09/08/2012)
6) Execution of orders on behalf of clients (Notification 12067095 of 09/08/2012)
7) Portfolio management (Notification 12067095 of 09/08/2012)
8) Dealing on own account (Notification 12067095 of 09/08/2012)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 12067095 of 09/08/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TELFORD MANN LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Saxon Way West</td>
</tr>
<tr>
<td>City:</td>
<td>Nn18 9ez - Northampton</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12087598 of 06/11/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3551</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12087598 of 06/11/2012)
2) Investment advice (Notification 12087598 of 06/11/2012)
3) Portfolio management (Notification 12087598 of 06/11/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12087598 of 06/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
TEMPLAR EIS LIMITED

Investment firm: TEMPLAR EIS LIMITED

Registered office: 1, Triq Kannestru

City: Mlh2110 - Valletta

Country: Malta

Notification of Registration: n. 0051043/15 of 25/06/2015

Registration no.: 4197

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0051043/15 of 25/06/2015)

2) Investment advice (Notification 0051043/15 of 25/06/2015)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0051043/15 of 25/06/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TEMPO CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>52 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 6lx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10073573 of 01/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2960</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10073573 of 01/09/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10073573 of 01/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TENDALL CAPITAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12, Tigne Place, Of 2/5, Tigne Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Slm3173 - Sliema</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065177/15 of 10/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4217</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065177/15 of 10/08/2015)
2) Execution of orders on behalf of clients (Notification 0065177/15 of 10/08/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065177/15 of 10/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TENDERCAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11079390 of 23/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3269</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11079390 of 23/09/2011)
2) Investment advice (Notification 11079390 of 23/09/2011)
3) Portfolio management (Notification 11079390 of 23/09/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11079390 of 23/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TERA EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>125 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1ar - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0035168/16 of 19/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4362</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0035168/16 of 19/04/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0035168/16 of 19/04/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0035168/16 of 19/04/2016)

4) Investment advice (Notification 0035168/16 of 19/04/2016)

5) Execution of orders on behalf of clients (Notification 0035168/16 of 19/04/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0035168/16 of 19/04/2016)

7) Dealing on own account (Notification 0099844/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TERIUM LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>57 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10051793 of 07/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2877</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0100133/17 of 17/08/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10051793 of 07/06/2010)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10051793 of 07/06/2010)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10051793 of 07/06/2010)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 10051793 of 07/06/2010)
6) Placing of financial instruments without a firm commitment basis (Notification 10051793 of 07/06/2010)
7) Investment advice (Notification 10051793 of 07/06/2010)
8) Execution of orders on behalf of clients (Notification 10051793 of 07/06/2010)
9) Reception and transmission of orders in relation to one or more financial instruments (Notification 10051793 of 07/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TF GLOBAL MARKETS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Copthall Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r7da - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0018443/15 of 13/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4128</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0018443/15 of 13/03/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0018443/15 of 13/03/2015)

3) Execution of orders on behalf of clients (Notification 0018443/15 of 13/03/2015)

4) Dealing on own account (Notification 0018443/15 of 13/03/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0018443/15 of 13/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TFI MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>178 Athalassas Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>2025 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10053861 of 14/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2879</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10053861 of 14/06/2010)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10053861 of 14/06/2010)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 10053861 of 14/06/2010)

4) Execution of orders on behalf of clients (Notification 10053861 of 14/06/2010)

5) Dealing on own account (Notification 10053861 of 14/06/2010)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10053861 of 14/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TFS DERIVATIVES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 St.Botolph Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2048578 of 11/07/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1309</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an MTF (Notification 13036830 of 30/04/2013)
2) Investment advice (Notification 2048578 of 11/07/2002)
3) Execution of orders on behalf of clients (Notification 2048578 of 11/07/2002)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 2048578 of 11/07/2002)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Service Description</th>
<th>Notification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Operation of an OTF (Notification 0000164/18 of 03/01/2018)</td>
<td></td>
</tr>
<tr>
<td>2) Operation of an MTF (Notification 0000164/18 of 03/01/2018)</td>
<td></td>
</tr>
<tr>
<td>3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1004545 of 23/01/2001)</td>
<td></td>
</tr>
<tr>
<td>4) Investment advice (Notification 7098302 of 30/10/2007)</td>
<td></td>
</tr>
<tr>
<td>5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)</td>
<td></td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THALMANN &amp; VERLING TRUST REG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landstr. 310</td>
</tr>
<tr>
<td>City:</td>
<td>FL-9495 - Triesen</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8064118 of 07/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2348</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8064118 of 07/07/2008)
2) Investment advice (Notification 8064118 of 07/07/2008)
3) Portfolio management (Notification 8064118 of 07/07/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8064118 of 07/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THAMES RIVER CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Exchange House, Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ny - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5026970 of 20/04/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1543</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 5026970 of 20/04/2005)
2) Investment advice (Notification 5026970 of 20/04/2005)
3) Execution of orders on behalf of clients (Notification 5026970 of 20/04/2005)
4) Portfolio management (Notification 5026970 of 20/04/2005)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 5026970 of 20/04/2005)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE ALLIANCE PARTNERSHIP NETHERLANDS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Korte Prinsengracht 18e</td>
</tr>
<tr>
<td>City:</td>
<td>1013 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12096119 of 12/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3572</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12096119 of 12/12/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12096119 of 12/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE ANALYST RESEARCH LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>64-66 Wingate Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw40af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0072933/14 of 10/09/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4031</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072933/14 of 10/09/2014)
2. Investment advice (Notification 0072933/14 of 10/09/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE ASSET MANAGEMENT EXCHANGE (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Willis Building 51 Lime Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0425096/19 of 22/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5055</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0425096/19 of 22/07/2019)
2) Execution of orders on behalf of clients (Notification 0425096/19 of 22/07/2019)
3) Portfolio management (Notification 0425096/19 of 22/07/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0425096/19 of 22/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE BLACKSTONE GROUP INTERNATIONAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>40 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5al - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12003538 of 17/01/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3332</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12003538 of 17/01/2012)
2) Investment advice (Notification 12003538 of 17/01/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12003538 of 17/01/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE CAMBRIDGE STRATEGY (ASSET MANAGEMENT) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7th Floor Berger House 36-38 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0060084/15 of 24/07/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4213</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0060084/15 of 24/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE CYPRUS INVESTMENT AND SECURITIES CORPORATION LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>154 Lemesou Ave</td>
</tr>
<tr>
<td>City:</td>
<td>2025 - Strovolos</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11058617 of 30/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3186</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Services related to underwriting (Notification 11058617 of 30/06/2011)
2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11058617 of 30/06/2011)
3) Placing of financial instruments without a firm commitment basis (Notification 11058617 of 30/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE ECU GROUP PUBLIC LIMITED COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>73 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 4hk - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5044758 of 21/06/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1557</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 5044758 of 21/06/2005)
2) Investment advice (Notification 5044758 of 21/06/2005)
3) Portfolio management (Notification 5044758 of 21/06/2005)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 5044758 of 21/06/2005)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: THE EXECUTIVE OFFICE (GBR) LLP

Registered office: 37-41 Old Queen Street

City: Sw1h 9ja - Londra

Country: Regno Unito

Notification of Registration: n. 6064065 of 28/07/2006

Registration no.: 1681

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6064065 of 28/07/2006)

2) Investment advice (Notification 6064065 of 28/07/2006)

3) Execution of orders on behalf of clients (Notification 6064065 of 28/07/2006)

4) Portfolio management (Notification 6064065 of 28/07/2006)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 6064065 of 28/07/2006)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>THE EXETER PRACTICE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Charlotte Mews</td>
</tr>
<tr>
<td>City:</td>
<td>Ex2 4ha - Exeter</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0017344/15 of 09/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4125</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0017344/15 of 09/03/2015)  
2) Execution of orders on behalf of clients (Notification 0017344/15 of 09/03/2015)  
3) Portfolio management (Notification 0017344/15 of 09/03/2015)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017344/15 of 09/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE FINANCIAL PLANNING CORPORATION LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>124 Station Road Ainsdale Southport</td>
</tr>
<tr>
<td>City:</td>
<td>Pr8 3hl - Merseyside</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9016593 of 23/02/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2535</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9016593 of 23/02/2009)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9016593 of 23/02/2009)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9016593 of 23/02/2009)

4) Investment advice (Notification 9016593 of 23/02/2009)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9016593 of 23/02/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE FUEL TRADING COMPANY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>109 Micklegate</td>
</tr>
<tr>
<td>City:</td>
<td>Y016lb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096136/15 of 21/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4285</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0096136/15 of 21/12/2015)
2) Execution of orders on behalf of clients (Notification 0096136/15 of 21/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096136/15 of 21/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE GLOBAL FINANCE &amp; CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4 Broadgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6088228 of 03/11/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1724</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 6088228 of 03/11/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6088228 of 03/11/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE INVESTMENT COACH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Manor Farm, Podington, Northamptonshire</td>
</tr>
<tr>
<td>City:</td>
<td>Nn29 7hp - Wellingborough</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7107479 of 06/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2104</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7107479 of 06/12/2007)

2) Investment advice (Notification 7107479 of 06/12/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7107479 of 06/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: THE LINK ASSET AND SECURITIES COMPANY LIMITED

Registered office: 2 Broadgate,

City: Ec2m 7ur - Londra

Country: Regno Unito

Notification of Registration: n. 1044410 of 05/06/2001

Registration no.: 1129

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0069956/13 of 21/08/2013)
2) Execution of orders on behalf of clients (Notification 1044410 of 05/06/2001)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 1044410 of 05/06/2001)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE LONDON TRADING COMPANY (UK) PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2-8 Victoria Avenue Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096142/15 of 21/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4287</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0096142/15 of 21/12/2015)
2) Portfolio management (Notification 0096142/15 of 21/12/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096142/15 of 21/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE NEW AMSTERDAM GROUP B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gustav Mahlerplein 2</td>
</tr>
<tr>
<td>City:</td>
<td>1082 Ma - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0125428/17 of 09/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4709</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0125428/17 of 09/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE SEAPORT GROUP EUROPE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10100556 of 07/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3033</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0100392/17 of 18/08/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10100556 of 07/12/2010)
3) Investment advice (Notification 10100556 of 07/12/2010)
4) Execution of orders on behalf of clients (Notification 10100556 of 07/12/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10100556 of 07/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE SHARE CENTRE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Oxford House , Oxford Road Buckinghamshire</td>
</tr>
<tr>
<td>City:</td>
<td>Hp21 8sz - Aylesbury</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>312</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 7081547 of 10/09/2007)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE TJM PARTNERSHIP PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>68 Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9lj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13000244 of 03/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3586</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13000244 of 03/01/2013)
2) Investment advice (Notification 13000244 of 03/01/2013)
3) Portfolio management (Notification 13000244 of 03/01/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000244 of 03/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THE TRINITY COLUMN PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>36 Grosvenor Garndens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 9eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13007982 of 28/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3617</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13007982 of 28/01/2013)

2) Investment advice (Notification 13007982 of 28/01/2013)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13007982 of 28/01/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: THEOREMA ADVISORS UK LLP

Registered office: 20 Balderton Street
City: W1k 6tl - Londra
Country: Regno Unito

Notification of Registration: n. 11051750 of 08/06/2011
Registration no.: 3162

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11051750 of 08/06/2011)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 11051750 of 08/06/2011)
3) Investment advice (Notification 11051750 of 08/06/2011)
4) Execution of orders on behalf of clients (Notification 11051750 of 08/06/2011)
5) Portfolio management (Notification 11051750 of 08/06/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11051750 of 08/06/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THERON CAPITAL ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31 Meteor Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw11 5nz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0106249/18 of 11/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4800</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0106249/18 of 11/04/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0106249/18 of 11/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THESIS ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Exchange Building St John'S Street Chichester</td>
</tr>
<tr>
<td>City:</td>
<td>Po19 1up - West Sussex</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96024703 of 25/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>910</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Portfolio management (Notification 7101005 of 14/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7101005 of 14/11/2007)
4) Investment advice (Notification 96024703 of 25/03/1996)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THINC GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 2 Vintners Place 68 Upper Thames Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 3bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7097994 of 02/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1942</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7097994 of 02/11/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7097994 of 02/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THINK WEALTH LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Eleftheriou Venizelou</td>
</tr>
<tr>
<td>City:</td>
<td>1105 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0036945/18 of 14/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4771</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0036945/18 of 14/02/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0036945/18 of 14/02/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0036945/18 of 14/02/2018)

4) Execution of orders on behalf of clients (Notification 0036945/18 of 14/02/2018)

5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0186557/18 of 04/06/2018)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0186557/18 of 04/06/2018)

7) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0186557/18 of 04/06/2018)

8) Investment advice (Notification 0186557/18 of 04/06/2018)

9) Portfolio management (Notification 0186557/18 of 04/06/2018)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 0186557/18 of 04/06/2018)
Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: THIRD PLATFORM SERVICES LIMITED

Registered office: 17 Neals Yard Covent Garden

City: Wc2h9dp - Londra

Country: Regno Unito

Notification of Registration: n. 0058084/16 of 22/06/2016

Registration no.: 4414

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0058084/16 of 22/06/2016)

2) Execution of orders on behalf of clients (Notification 0058084/16 of 22/06/2016)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0058084/16 of 22/06/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THM PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Fleet Place</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7rb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8100397 of 03/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2459</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8100397 of 03/11/2008)

2) Investment advice (Notification 8100397 of 03/11/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8100397 of 03/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THOMAS FREIBERGER VERMOEGENSVERWALTUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Buchen Strasse 2</td>
</tr>
<tr>
<td>City:</td>
<td>83588 - Maitenbeth</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0088281/16 of 05/10/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4480</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0088281/16 of 05/10/2016)
2) Portfolio management (Notification 0088281/16 of 05/10/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THOME ASSET MANAGEMENT &amp; ASSET CONTROLLING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Stables Druids Lodge</td>
</tr>
<tr>
<td>City:</td>
<td>Sp3 4un - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0065180/15 of 10/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4221</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065180/15 of 10/08/2015)
2) Placing of financial instruments without a firm commitment basis (Notification 0065180/15 of 10/08/2015)
3) Investment advice (Notification 0065180/15 of 10/08/2015)
4) Execution of orders on behalf of clients (Notification 0065180/15 of 10/08/2015)
5) Portfolio management (Notification 0065180/15 of 10/08/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065180/15 of 10/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: THOMPSON CROSBY CAPITAL MARKETS LIMITED

Registered office: 1 Berkely Square

City: W1j 8dj - Londra

Country: Regno Unito

Notification of Registration: n. 12058065 of 10/07/2012

Registration no.: 3467

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12058065 of 10/07/2012)
2) Portfolio management (Notification 12058065 of 10/07/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12058065 of 10/07/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THORNBRIDGE INVESTMENT MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>837-839, 6th Floor, Salisbury House London Wall,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m5qq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0053730/16 of 09/06/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4401</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0053730/16 of 09/06/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0053730/16 of 09/06/2016)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0053730/16 of 09/06/2016)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0053730/16 of 09/06/2016)

5) Investment advice (Notification 0053730/16 of 09/06/2016)

6) Execution of orders on behalf of clients (Notification 0053730/16 of 09/06/2016)

7) Portfolio management (Notification 0053730/16 of 09/06/2016)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0053730/16 of 09/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THREADMARK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10021715 of 12/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2810</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10021715 of 12/03/2010)

2) Investment advice (Notification 10021715 of 12/03/2010)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10021715 of 12/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THREADMARK PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>32 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k5dl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0096749/14 of 17/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4074</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0096749/14 of 17/12/2014)
2) Investment advice (Notification 0096749/14 of 17/12/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0096749/14 of 17/12/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>THREADNEEDLE ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cannon Place 78, Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 6ag - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2043164 of 17/06/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1276</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 2043164 of 17/06/2002)
2) Portfolio management (Notification 2043164 of 17/06/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIBER CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 0pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10021716 of 12/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2802</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0120275/19 of 05/03/2019)
2) Portfolio management (Notification 0120275/19 of 05/03/2019)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 10021716 of 12/03/2010)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10021716 of 12/03/2010)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10021716 of 12/03/2010)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 10021716 of 12/03/2010)
7) Investment advice (Notification 10021716 of 12/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIBRA TRADING EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Level 11 5 Aldermanbury Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7hr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0090590/19 of 19/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4952</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0090590/19 of 19/02/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TICKMILL EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Kedron 9, Mesa Geitonia</td>
</tr>
<tr>
<td>City:</td>
<td>4004 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0007224/16 of 27/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4310</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0007224/16 of 27/01/2016)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0007224/16 of 27/01/2016)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0007224/16 of 27/01/2016)
4) Execution of orders on behalf of clients (Notification 0007224/16 of 27/01/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0007224/16 of 27/01/2016)
6) Portfolio management (Notification 0098488/16 of 04/11/2016)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TICKMILL UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Fore Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079201/16 of 05/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4464</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0079201/16 of 05/09/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0079201/16 of 05/09/2016)
3) Dealing on own account (Notification 0101111/17 of 23/08/2017)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0101341/16 of 14/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIDEWAY INVESTMENT PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Thomas House 84 Eccleston Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 1px - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0032773/17 of 14/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4578</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0032773/17 of 14/03/2017)
2) Execution of orders on behalf of clients (Notification 0032773/17 of 14/03/2017)
3) Portfolio management (Notification 0032773/17 of 14/03/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0032773/17 of 14/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIFOSY LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>75-81 Burnaby Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw10ons - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102267/16 of 16/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4506</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0084902/17 of 03/07/2017)
2) Execution of orders on behalf of clients (Notification 0097924/17 of 07/08/2017)
3) Investment advice (Notification 0102267/16 of 16/11/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102267/16 of 16/11/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIGERRISK CAPITAL MARKETS &amp; ADVISORY (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>148 Leadenhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v4qt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068867/17 of 19/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4608</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0068867/17 of 19/05/2017)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0068867/17 of 19/05/2017)
3) Services related to underwriting (Notification 0068867/17 of 19/05/2017)
4) Placing of financial instruments without a firm commitment basis (Notification 0068867/17 of 19/05/2017)
5) Investment advice (Notification 0068867/17 of 19/05/2017)
6) Execution of orders on behalf of clients (Notification 0068867/17 of 19/05/2017)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068867/17 of 19/05/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIGERWIT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Augustine House 6a Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0372004/18 of 26/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4873</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0372004/18 of 26/09/2018)
2) Execution of orders on behalf of clients (Notification 0372004/18 of 26/09/2018)
3) Dealing on own account (Notification 0372004/18 of 26/09/2018)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0372004/18 of 26/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Golden Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1f 9jg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9079819 of 07/09/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2669</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9079819 of 07/09/2009)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9079819 of 07/09/2009)
3) Investment advice (Notification 9079819 of 07/09/2009)
4) Execution of orders on behalf of clients (Notification 9079819 of 07/09/2009)
5) Portfolio management (Notification 9079819 of 07/09/2009)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 9079819 of 07/09/2009)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY ASSET MANAGEMENT SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Observatory Western Road</td>
</tr>
<tr>
<td>City:</td>
<td>Rg12 1tl - Bracknell</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7067377 of 20/07/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1830</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 7067377 of 20/07/2007)
2) Investment advice (Notification 7067377 of 20/07/2007)
3) Execution of orders on behalf of clients (Notification 7067377 of 20/07/2007)
4) Portfolio management (Notification 7067377 of 20/07/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7067377 of 20/07/2007)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY DISCRETIONARY INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Observatory Western Road Bracknell</td>
</tr>
<tr>
<td>City:</td>
<td>Rg12 1tl - Berkshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0338220/18 of 04/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4870</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0338220/18 of 04/09/2018)  
2) Execution of orders on behalf of clients (Notification 0338220/18 of 04/09/2018)  
3) Portfolio management (Notification 0338220/18 of 04/09/2018)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0338220/18 of 04/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY DISCRETIONARY PORTFOLIO MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Observatory Western Road</td>
</tr>
<tr>
<td>City:</td>
<td>Rg12 1tl - Bracknell</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5111</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0606228/19 of 07/10/2019)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)

3) Investment advice (Notification 0606228/19 of 07/10/2019)

4) Execution of orders on behalf of clients (Notification 0606228/19 of 07/10/2019)

5) Portfolio management (Notification 0606228/19 of 07/10/2019)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY FINANCIAL PLANNING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Western Road, Berkshire</td>
</tr>
<tr>
<td>City:</td>
<td>Rg12 1tl - Bracknell</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7099937 of 09/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1994</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7099937 of 09/11/2007)
2) Investment advice (Notification 7099937 of 09/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7099937 of 09/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TILNEY INVESTMENT MANAGEMENT

Registered office: 6 Chesterfield Gardens

City: W1j 5bq - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 314

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) 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 (Notification 96000620 of 03/01/1996)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 96000620 of 03/01/1996)

4) Services related to underwriting (Notification 96000620 of 03/01/1996)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 96000620 of 03/01/1996)

7) Placing of financial instruments without a firm commitment basis (Notification 96000620 of 03/01/1996)

8) Investment advice (Notification 96000620 of 03/01/1996)

9) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)

10) Portfolio management (Notification 96000620 of 03/01/1996)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

12) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 96059817 of 15/07/1996)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TILNEY INVESTMENT MANAGEMENT SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Chesterfield Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11043342 of 16/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3153</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11043342 of 16/05/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11043342 of 16/05/2011)
3) Investment advice (Notification 11043342 of 16/05/2011)
4) Execution of orders on behalf of clients (Notification 11043342 of 16/05/2011)
5) Portfolio management (Notification 11043342 of 16/05/2011)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 11043342 of 16/05/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIMBERLAND CAPITAL MANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Feldstrasse 8</td>
</tr>
<tr>
<td>City:</td>
<td>47198 - Duisburg</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0048412/16 of 25/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4390</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0048412/16 of 25/05/2016)
2) Portfolio management (Notification 0048412/16 of 25/05/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0048412/16 of 25/05/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIMBERLAND INVEST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>St. George'S Park Aragon House</td>
</tr>
<tr>
<td>City:</td>
<td>- Saint Julians</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0055828/14 of 03/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3991</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0055828/14 of 03/07/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0055828/14 of 03/07/2014)
3) Placing of financial instruments without a firm commitment basis (Notification 0071333/15 of 11/09/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIME PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St. James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y4js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0012773/17 of 27/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4550</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0012773/17 of 27/01/2017)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0012773/17 of 27/01/2017)

3) Investment advice (Notification 0012773/17 of 27/01/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0012773/17 of 27/01/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIMEINVEST FONDSMAEGLERSELSKAB A/S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Park Alle 295, 2, Sal</td>
</tr>
<tr>
<td>City:</td>
<td>2605 - Brondby</td>
</tr>
<tr>
<td>Country:</td>
<td>Danimarca</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0091222/14 of 21/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4061</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0091222/14 of 21/11/2014)
2) Execution of orders on behalf of clients (Notification 0091222/14 of 21/11/2014)
3) Portfolio management (Notification 0091222/14 of 21/11/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0091222/14 of 21/11/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIML LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31 Southampton Row</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1b 5hj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070037/16 of 28/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4433</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0070037/16 of 28/07/2016)
2) Execution of orders on behalf of clients (Notification 0070037/16 of 28/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIMOTHY JAMES AND PARTNERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Portland Place</td>
</tr>
<tr>
<td>City:</td>
<td>S1b 1qh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7096754 of 01/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1925</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7096754 of 01/11/2007)
2) Investment advice (Notification 7096754 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7096754 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TIO MARKETS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor, 9 Devonshire Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 4yd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10077768 of 22/09/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2975</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 10077768 of 22/09/2010)
2) Execution of orders on behalf of clients (Notification 10077768 of 22/09/2010)
3) Dealing on own account (Notification 10077768 of 22/09/2010)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 10077768 of 22/09/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TISHMAN SPEYER PROPERTIES UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61, Aldwych</td>
</tr>
<tr>
<td>City:</td>
<td>Wc2b4ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0062387/14 of 25/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4004</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0062387/14 of 25/07/2014)
2) Investment advice (Notification 0062387/14 of 25/07/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0062387/14 of 25/07/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TLCOM CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>126-130 Regent Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 5se - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6030858 of 05/04/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1636</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 6030858 of 05/04/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6030858 of 05/04/2006)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TMS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Cranfield Innovation Centre University Way</td>
</tr>
<tr>
<td>City:</td>
<td>Mk43 0bt - Bedford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10065363 of 26/07/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2925</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10065363 of 26/07/2010)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10065363 of 26/07/2010)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 10065363 of 26/07/2010)
4) Investment advice (Notification 10065363 of 26/07/2010)
5) Portfolio management (Notification 10065363 of 26/07/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10065363 of 26/07/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TODAY’S BROKERS B.V.

Registered office: Teleportboulevard 110

City: 1043 Ej - Amsterdam

Country: Paesi Bassi

Notification of Registration: n. 0026511/17 of 28/02/2017

Registration no.: 4567

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0026511/17 of 28/02/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0026511/17 of 28/02/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TOKAI TOKYO SECURITIES EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>City Tower, 40 Basinghall Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 5de - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022376/15 of 27/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4137</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments  
(Notification 0022376/15 of 27/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
TOKIO MARINE ASSET MANAGEMENT (LONDON) LTD

150 Leadenhall Street

Ec3v 4te - Londra

Regno Unito

n. 8098578 of 27/10/2008

2449

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 11012191 of 22/02/2011)
2) Portfolio management (Notification 11012191 of 22/02/2011)
3) Investment advice (Notification 8098578 of 27/10/2008)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8098578 of 27/10/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TOKOS VERMOGENSBERATUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Fleischmarkt 22/47</td>
</tr>
<tr>
<td>City:</td>
<td>1011 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99025369 of 02/04/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>773</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99025369 of 02/04/1999)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 99025369 of 02/04/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TOM B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Barbara Struzzilaan 310-322</td>
</tr>
<tr>
<td>City:</td>
<td>1083 Hn - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11009975 of 11/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3079</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 11009975 of 11/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TOPFX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28th Oktovriou 317 Kanika Bc</td>
</tr>
<tr>
<td>City:</td>
<td>3105 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12020578 of 21/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3381</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0035649/14 of 30/04/2014)
2) Dealing on own account (Notification 0056242/16 of 15/06/2016)
3) Execution of orders on behalf of clients (Notification 0092090/13 of 26/11/2013)
4) 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 (Notification 12020578 of 21/03/2012)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12020578 of 21/03/2012)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 12020578 of 21/03/2012)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020578 of 21/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TORCH PARTNERS CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Cavendish Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 3pw - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1044601 of 05/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1133</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0015161/15 of 02/03/2015)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12068192 of 13/08/2012)
3) Investment advice (Notification 12068192 of 13/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TORREYA PARTNERS (EUROPE) LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 St James’S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y4js - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13031182 of 12/04/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3676</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0054856/17 of 26/04/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0060425/15 of 27/07/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TOURMALINE EUROPE LLP

Registered office: 57/59 Haymarket

City: Sw1y Qx - Londra

Country: Regno Unito

Notification of Registration: n. 0020129/15 of 20/03/2015

Registration no.: 4132

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0020129/15 of 20/03/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0020129/15 of 20/03/2015)

3) Execution of orders on behalf of clients (Notification 0020129/15 of 20/03/2015)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0020129/15 of 20/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TOWER RESEARCH CAPITAL EUROPE B.V.

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Strawinskylaan 631</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>1077xx - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0120267/19 of 05/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4969</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0120267/19 of 05/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TOWER RESEARCH CAPITAL EUROPE LIMITED

Registered office: One Crown Court 66 Cheapside 2nf Floor

City: Ec2v 6jp - Londra

Country: Regno Unito

Notification of Registration: n. 12087704 of 07/11/2012

Registration no.: 3552

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0029807/17 of 07/03/2017)
2) Portfolio management (Notification 0029807/17 of 07/03/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0029807/17 of 07/03/2017)
4) Dealing on own account (Notification 12087704 of 07/11/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TOWERS WATSON LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>London Road Reigate</td>
</tr>
<tr>
<td>City:</td>
<td>Rh2 9pq - Surrey</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9000033 of 02/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2498</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 13016077 of 26/02/2013)
2) Portfolio management (Notification 13016077 of 26/02/2013)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9000033 of 02/01/2009)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9000033 of 02/01/2009)
5) Services related to underwriting (Notification 9000033 of 02/01/2009)
6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9000033 of 02/01/2009)
7) Investment advice (Notification 9000033 of 02/01/2009)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 9000033 of 02/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0163041/19 of 27/03/2019)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12090927 of 19/11/2012)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12090927 of 19/11/2012)
4) Investment advice (Notification 12090927 of 19/11/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Townsend Group Europe Limited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor 28-29 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4na - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0407722/19 of 12/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5054</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0407722/19 of 12/07/2019)
2) Investment advice (Notification 0407722/19 of 12/07/2019)
3) Portfolio management (Notification 0407722/19 of 12/07/2019)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0407722/19 of 12/07/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **TOYOTA TSUSHO METALS LIMITED**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>88 Wood Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ec2v 7da - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
</tbody>
</table>

Notification of Registration: n. 10083562 of 12/10/2010

Registration no.: 2991

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 10083562 of 12/10/2010)
2) Dealing on own account (Notification 12059560 of 16/07/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **TP ICAP (EUROPE) SA**

Registered office: 89-91 Rue Du Faubourg Saint-Honore

City: 75008 - Parigi

Country: Francia

Notification of Registration: n. 0351482/19 of 18/06/2019

Registration no.: 5040

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0351466/19 of 18/06/2019)
2) Operation of an MTF (Notification 0351466/19 of 18/06/2019)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0351482/19 of 18/06/2019)
4) Placing of financial instruments without a firm commitment basis (Notification 0351482/19 of 18/06/2019)
5) Execution of orders on behalf of clients (Notification 0351482/19 of 18/06/2019)
6) Dealing on own account (Notification 0351482/19 of 18/06/2019)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0351482/19 of 18/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TPG EUROPE, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5-7 Carlton Gardens</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 5ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5001386 of 12/01/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1510</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5001386 of 12/01/2005)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 5001386 of 12/01/2005)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TRADE CAPITAL MARKETS (TCM) LTD

Registered office: 148 Strovolos Avenue

City: 2048 - Nicosia

Country: Cipro

Notification of Registration: n. 0031888/14 of 16/04/2014

Registration no.: 3949

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0031888/14 of 16/04/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0031888/14 of 16/04/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0031888/14 of 16/04/2014)

4) Execution of orders on behalf of clients (Notification 0031888/14 of 16/04/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0031888/14 of 16/04/2014)

6) Dealing on own account (Notification 0032622/15 of 28/04/2015)

7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0059543/16 of 27/06/2016)

8) Investment advice (Notification 0059543/16 of 27/06/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>TRADE FACTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Calenick House Suite 3 Truro Technology Park</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Tr1 2xn - Cornwall</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 7080151 of 03/09/2007</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>1835</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7080151 of 03/09/2007)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7080151 of 03/09/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADE REPUBLIC BANK GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ernst-Schneider-Platz 1</td>
</tr>
<tr>
<td>City:</td>
<td>40212 - Dusseldorf</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0676710/19 of 31/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5130</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0676710/19 of 31/10/2019)

2) Execution of orders on behalf of clients (Notification 0676710/19 of 31/10/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0676710/19 of 31/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGIsTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADERNET LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Andrea Zappa 1 Glykis Court</td>
</tr>
<tr>
<td>City:</td>
<td>4040 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0083864/14 of 23/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4052</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0083864/14 of 23/10/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0083864/14 of 23/10/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0083864/14 of 23/10/2014)

4) Execution of orders on behalf of clients (Notification 0083864/14 of 23/10/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0083864/14 of 23/10/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADESLIDE TRADING TECH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>One Canada Square - Canary Wharf</td>
</tr>
<tr>
<td>City:</td>
<td>E145ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0069482/13 of 16/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3771</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0069482/13 of 16/08/2013)
2) Investment advice (Notification 0069482/13 of 16/08/2013)
3) Execution of orders on behalf of clients (Notification 0069482/13 of 16/08/2013)
4) Portfolio management (Notification 0069482/13 of 16/08/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0069482/13 of 16/08/2013)
6) Dealing on own account (Notification 0099842/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADESTATION INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Old Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1h 9hp - London</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7020290 of 08/03/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1771</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 7020290 of 08/03/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADESTONE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>89 Vasileos Georgiou A Flat 101</td>
</tr>
<tr>
<td>City:</td>
<td>4048 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0138519/18 of 04/05/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4818</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0138519/18 of 04/05/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0138519/18 of 04/05/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0138519/18 of 04/05/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0138519/18 of 04/05/2018)

5) Execution of orders on behalf of clients (Notification 0138519/18 of 04/05/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0138519/18 of 04/05/2018)

7) Dealing on own account (Notification 0270787/18 of 23/07/2018)

8) Investment advice (Notification 0788780/19 of 09/12/2019)

9) Portfolio management (Notification 0788780/19 of 09/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADESTECH ALPHA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Chalk Farm Road Triangle Building Stable Market</td>
</tr>
<tr>
<td>City:</td>
<td>Nw18ab - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0082483/14 of 17/10/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4050</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0082483/14 of 17/10/2014)

2) Execution of orders on behalf of clients (Notification 0082483/14 of 17/10/2014)

3) Dealing on own account (Notification 0082483/14 of 17/10/2014)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0082483/14 of 17/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADEWEB EU BV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Antonio Vivaldistraat 50</td>
</tr>
<tr>
<td>City:</td>
<td>1083 Np - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0049325/19 of 30/01/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4938</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0049325/19 of 30/01/2019)
2) Operation of an MTF (Notification 0049325/19 of 30/01/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADEWEB EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Fore Street Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 9dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 82734 of 08/11/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1057</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0137577/17 of 03/01/2018)
2) Operation of an MTF (Notification 7093502 of 01/11/2007)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 82734 of 08/11/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADING POINT ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Richard &amp; Verengaria Street</td>
</tr>
<tr>
<td>City:</td>
<td>3042 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0183305/18 of 01/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4832</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0183305/18 of 01/06/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0183305/18 of 01/06/2018)

3) Portfolio management (Notification 0183305/18 of 01/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADING POINT OF FINANCIAL INSTRUMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12 Richard &amp; Verengaria Street</td>
</tr>
<tr>
<td>City:</td>
<td>3042 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10103660 of 22/12/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3046</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 10103660 of 22/12/2010)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10103660 of 22/12/2010)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10103660 of 22/12/2010)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 10103660 of 22/12/2010)
5) Dealing on own account (Notification 10103660 of 22/12/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10103660 of 22/12/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment firm: TRADING POINT OF FINANCIAL INSTRUMENTS UK LIMITED

**Registered office:** 1 Ropemaker Street

**City:** Ec2y 9ht - Londra

**Country:** Regno Unito

**Notification of Registration:** n. 0098524/16 of 04/11/2016

**Registration no.:** 4496

### SERVICES PROVIDED IN ITALY

1. Foreign exchange services where these are connected to the provision of investment services (Notification 0098524/16 of 04/11/2016)
2. Execution of orders on behalf of clients (Notification 0098524/16 of 04/11/2016)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0098524/16 of 04/11/2016)
4. Dealing on own account (Notification 0099850/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TRADING 212 LTD

Registered office: 3 Lachezar Stanchev Strasse Fl. 10 Litex Tower

City: 1113 - Sofia

Country: Bulgaria

Notification of Registration: n. 11091444 of 11/11/2011

Registration no.: 3299

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0098616/14 of 24/12/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0349048/19 of 17/06/2019)

3) Investment advice (Notification 0349048/19 of 17/06/2019)

4) Portfolio management (Notification 0349048/19 of 17/06/2019)

5) Dealing on own account (Notification 0349048/19 of 17/06/2019)

6) 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 (Notification 0796256/19 of 11/12/2019)

7) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0796256/19 of 11/12/2019)

8) Foreign exchange services where these are connected to the provision of investment services (Notification 11091444 of 11/11/2011)

9) Execution of orders on behalf of clients (Notification 11091444 of 11/11/2011)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 11091444 of 11/11/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADING 212 UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>107 Cheapside</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 6dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0010280/15 of 12/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4097</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0010280/15 of 12/02/2015)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0010280/15 of 12/02/2015)

3) Execution of orders on behalf of clients (Notification 0010280/15 of 12/02/2015)

4) Dealing on own account (Notification 0010280/15 of 12/02/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0010280/15 of 12/02/2015)

6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0086897/17 of 07/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADITION FINANCIAL SERVICES GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Grosse Eschenheimer Strasse 39/39a</td>
</tr>
<tr>
<td>City:</td>
<td>60313 - Frankfurt Am Main</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1093142 of 13/12/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1210</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 1093142 of 13/12/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADITION FINANCIAL SERVICES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 St. Botolph Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>417</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2004184 of 23/01/2002)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7094659 of 01/11/2007)
3) Operation of an MTF (Notification 7094659 of 01/11/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADITION LONDON CLEARING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beaufort House, 15 St. Botolph Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7dt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2185 of 13/01/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>967</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 2004184 of 23/01/2002)
2) Dealing on own account (Notification 2185 of 13/01/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0349024/19 of 17/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADITION SECURITIES &amp; FUTURES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 Place Vendome</td>
</tr>
<tr>
<td>City:</td>
<td>75001 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4000449 of 07/01/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1411</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 11093498 of 21/11/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11093498 of 21/11/2011)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11093498 of 21/11/2011)

4) Placing of financial instruments without a firm commitment basis (Notification 11093498 of 21/11/2011)

5) Investment advice (Notification 11093498 of 21/11/2011)

6) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4000449 of 07/01/2004)

7) Execution of orders on behalf of clients (Notification 4000449 of 07/01/2004)

8) Dealing on own account (Notification 4000449 of 07/01/2004)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 4000449 of 07/01/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRADITION (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Beaufort House, 15 St Botolph Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>416</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an OTF (Notification 0000167/18 of 03/01/2018)
2) Investment advice (Notification 2004184 of 23/01/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Operation of an MTF (Notification 9091612 of 28/10/2009)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 96000620 of 03/01/1996)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](https://example.com) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRAD-X (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 St. Botolph Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 7qx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13013335 of 18/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3638</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Operation of an MTF (Notification 13013335 of 18/02/2013)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 13013335 of 18/02/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TRAMWAY FINANCIAL MANAGEMENT LTD

Registered office: Brunel House The Tramway, Todenham Road

City: GL56 9nj - Londra

Country: Regno Unito

Notification of Registration: n. 0024344/17 of 22/02/2017

Registration no.: 4564

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0024344/17 of 22/02/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0024344/17 of 22/02/2017)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0024344/17 of 22/02/2017)

4) Investment advice (Notification 0024344/17 of 22/02/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0024344/17 of 22/02/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TREDOUX CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2a Abercorn Place</td>
</tr>
<tr>
<td>City:</td>
<td>Nw8 9xr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5064429 of 29/09/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1581</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 5064429 of 29/09/2005)
2) Investment advice (Notification 5064429 of 29/09/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5064429 of 29/09/2005)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRESSIS, SOCIEDAD DE VALORES. SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Calle Jorge Manrique N 12</td>
</tr>
<tr>
<td>City:</td>
<td>280006 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12068202 of 13/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3489</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 12068202 of 13/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRG MANAGEMENT UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Knightsbridge Green</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7ne - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12042442 of 21/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3423</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 12042442 of 21/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRILAND METALS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>71 High Holborn</td>
</tr>
<tr>
<td>City:</td>
<td>WC1v 6ea - London</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7098764 of 06/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1964</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) 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 (Notification 7098764 of 06/11/2007)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7098764 of 06/11/2007)

3) Investment advice (Notification 7098764 of 06/11/2007)

4) Execution of orders on behalf of clients (Notification 7098764 of 06/11/2007)

5) Dealing on own account (Notification 7098764 of 06/11/2007)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 7098764 of 06/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRILANTIC CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6lr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0500441/18 of 03/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4900</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0500441/18 of 03/12/2018)
2. Investment advice (Notification 0500441/18 of 03/12/2018)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0500441/18 of 03/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TRILT LTD

Registered office: 62, Athalasssis Avenue, Office 22

City: 2034 - Nicosia

Country: Cipro

Notification of Registration: n. 0059107/16 of 24/06/2016

Registration no.: 4417

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0059107/16 of 24/06/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0059107/16 of 24/06/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0059107/16 of 24/06/2016)

4) Execution of orders on behalf of clients (Notification 0059107/16 of 24/06/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRINETRA INVESTMENT MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Eastbourne Terrace</td>
</tr>
<tr>
<td>City:</td>
<td>W26lg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086302/17 of 06/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4633</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0086302/17 of 06/07/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086302/17 of 06/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRINITY GROUP LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Upper Grosvenor Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1x Ppb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3011 of 17/01/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>971</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 3011 of 17/01/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 3011 of 17/01/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRINITY INVESTMENT PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>48 Dover Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 4ff - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0067678/16 of 21/07/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4427</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0067678/16 of 21/07/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0067678/16 of 21/07/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRINOVA LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>24 Lime Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3m 7hs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0830841/19 of 23/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5145</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0830841/19 of 23/12/2019)

2) Investment advice (Notification 0830841/19 of 23/12/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0830841/19 of 23/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRIOPTIMA AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Klarabergsgatan 33</td>
</tr>
<tr>
<td>City:</td>
<td>S-111 21 - Stoccolma</td>
</tr>
<tr>
<td>Country:</td>
<td>Svezia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4065195 of 08/07/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1864</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 4065195 of 08/07/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRIPLE A EXPERTS S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14, Akti Kondyli Str</td>
</tr>
<tr>
<td>City:</td>
<td>18545 - Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12041658 of 17/05/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3422</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0090068/16 of 11/10/2016)  
2) Execution of orders on behalf of clients (Notification 0090068/16 of 11/10/2016)  
3) Dealing on own account (Notification 0090068/16 of 11/10/2016)  
4) Portfolio management (Notification 0095915/14 of 12/12/2014)  
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12041658 of 17/05/2012)  
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12041658 of 17/05/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

**(DATE 10/01/2020)**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRITON INVESTMENTS ADVISERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>9 South Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 2xa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0017987/14 of 06/03/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3923</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0017987/14 of 06/03/2014)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0017987/14 of 06/03/2014)
3) Investment advice (Notification 0835647/19 of 24/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TRIUMPH INT. (CYPRUS) LIMITED

Registered office: Corner Of Soterei Mchaelidi 28th October Street

City: 3035 - Limassol

Country: Cipro

Notification of Registration: n. 0097424/16 of 02/11/2016

Registration no.: 4493

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0097424/16 of 02/11/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0097424/16 of 02/11/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0097424/16 of 02/11/2016)

4) Execution of orders on behalf of clients (Notification 0097424/16 of 02/11/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097424/16 of 02/11/2016)

6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0101714/17 of 25/08/2017)

7) Investment advice (Notification 0101714/17 of 25/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TROY ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 Davies Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k4bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0020131/15 of 20/03/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4135</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0020131/15 of 20/03/2015)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0020131/15 of 20/03/2015)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0020131/15 of 20/03/2015)
4) Investment advice (Notification 0020131/15 of 20/03/2015)
5) Portfolio management (Notification 0020131/15 of 20/03/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0020131/15 of 20/03/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: T.R.S. INDEPENDENT FINANCIAL ADVISORS

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>19 Bailey Street Brynmawr, Ebbw Vale</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Np23 4an - Gwent</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8069263 of 23/07/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2369</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8069263 of 23/07/2008)
2) Investment advice (Notification 8069263 of 23/07/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8069263 of 23/07/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRUE TRADE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Mansion House 33 Queen Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r1br - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0064079/17 of 09/05/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4602</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0064079/17 of 09/05/2017)
2) Execution of orders on behalf of clients (Notification 0064079/17 of 09/05/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0064079/17 of 09/05/2017)
4) Dealing on own account (Notification 0099934/17 of 16/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TRUEEX UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Liverpool Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7py - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0006175/18 of 15/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4758</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0006175/18 of 15/01/2018)

2) Investment advice (Notification 0006175/18 of 15/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
TRUST CAPITAL TC LTD

23 Olympion Street, Libra Tower, Office 202

3035 - Limassol

Cipro

n. 0239387/19 of 02/05/2019

5022

1) 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 (Notification 0239387/19 of 02/05/2019)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0239387/19 of 02/05/2019)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0239387/19 of 02/05/2019)

4) Execution of orders on behalf of clients (Notification 0239387/19 of 02/05/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0239387/19 of 02/05/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TS CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>31 Harley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1g 9qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11077230 of 12/09/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3254</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11077230 of 12/09/2011)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11077230 of 12/09/2011)

3) Investment advice (Notification 11077230 of 12/09/2011)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11077230 of 12/09/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TSAF OTC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>253 Boulevard Pereire</td>
</tr>
<tr>
<td>City:</td>
<td>75017 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5078587 of 29/11/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1600</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11089897 of 07/11/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11089897 of 07/11/2011)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11089897 of 07/11/2011)

4) Investment advice (Notification 11089897 of 07/11/2011)

5) Execution of orders on behalf of clients (Notification 5078587 of 29/11/2005)

6) Dealing on own account (Notification 5078587 of 29/11/2005)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 5078587 of 29/11/2005)

8) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8024956 of 21/03/2008)

9) Placing of financial instruments without a firm commitment basis (Notification 8024956 of 21/03/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TSSP EUROPE, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Park House 116 Park Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0466356/18 of 14/11/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4895</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0466356/18 of 14/11/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0466356/18 of 14/11/2018)

3) Investment advice (Notification 0466356/18 of 14/11/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0466356/18 of 14/11/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: TT INTERNATIONAL

Registered office: 62 Threadneedle Street

City: Ec2r 8hp - Londra

Country: Regno Unito

Notification of Registration: n. 7006344 of 23/01/2007

Registration no.: 1753

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099179/13 of 30/12/2013)
2) Investment advice (Notification 7006344 of 23/01/2007)
3) Portfolio management (Notification 7006344 of 23/01/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TTCM TRADERS TRUST CAPITAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>56, Theodorou Potamianou, Kato Polemidia,</td>
</tr>
<tr>
<td>City:</td>
<td>4155 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10010420 of 08/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2771</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0527964/18 of 14/12/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0527964/18 of 14/12/2018)

3) Execution of orders on behalf of clients (Notification 0527964/18 of 14/12/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 10010420 of 08/02/2010)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10010420 of 08/02/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TTG CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3rd Floor Tower 42 25 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0130969/17 of 27/11/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4718</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0130969/17 of 27/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: TUFTON OCEANIC LTD

Registered office: 1 Albemarle Street

City: W1s 4ha - Londra

Country: Regno Unito

Notification of Registration: n. 2034156 of 15/05/2002

Registration no.: 1274

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2034156 of 15/05/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2034156 of 15/05/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>TULLETT &amp; TOKYO FOREX BELGIUM S.A.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>Avenue Moliere 114</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>B-1190 - Bruxelles</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Belgio</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 98088579 of 12/11/1998</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>742</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 98088579 of 12/11/1998)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TULETT &amp; TOKYO LIBERTY NEDERLAND B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ebbehout 4a</td>
</tr>
<tr>
<td>City:</td>
<td>1507 Ea - Zaandam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2017649 of 18/03/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1249</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 2017649 of 18/03/2002)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 2017649 of 18/03/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TULLETT PREBON (EQUITIES) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>155 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3tq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>324</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8042144 of 06/05/2008)
2) Investment advice (Notification 8042144 of 06/05/2008)
3) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)
5) Dealing on own account (Notification 97085647 of 15/12/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TULLETT PREBON (EUROPE) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>155 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3tq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>418</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0000121/18 of 03/01/2018)
2) Investment advice (Notification 3076639 of 25/11/2003)
3) Execution of orders on behalf of clients (Notification 3076639 of 25/11/2003)
4) Dealing on own account (Notification 3076639 of 25/11/2003)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
6) Operation of an MTF (Notification 8035416 of 16/04/2008)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TULLETT PREBON (SECURITIES) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>155 Bishopsgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 3tq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96000620 of 03/01/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>194</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0140871/17 of 03/01/2018)
2) Execution of orders on behalf of clients (Notification 69373 of 19/09/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8042136 of 06/05/2008)
4) Investment advice (Notification 8042136 of 06/05/2008)
5) Operation of an MTF (Notification 8042136 of 06/05/2008)
6) Dealing on own account (Notification 96000620 of 03/01/1996)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TURNBULL KER LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 St James'S Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1a 1ns - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10058201 of 28/06/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2885</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10058201 of 28/06/2010)
2) Investment advice (Notification 10058201 of 28/06/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10058201 of 28/06/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TURNER POPE INVESTMENTS (TPI) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Suite 1.5 1st Floor 5 Old Bailey</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4m 7ba - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0109241/16 of 12/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4540</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0109241/16 of 12/12/2016)
2) Execution of orders on behalf of clients (Notification 0109241/16 of 12/12/2016)
3) Portfolio management (Notification 0109241/16 of 12/12/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0109241/16 of 12/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TURQUOISE GLOBAL HOLDINGS EUROPE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Keizersgracht 679-689</td>
</tr>
<tr>
<td>City:</td>
<td>1017dv - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0141479/19 of 14/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4973</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an MTF (Notification 0141479/19 of 14/03/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TURQUOISE GLOBAL HOLDINGS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Paternoster Square</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2qp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11010042 of 14/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3072</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Operation of an MTF (Notification 11010042 of 14/02/2011)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010042 of 14/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: TURY INVEST GMBH

Registered office: Hockegasse 52

City: A-1180 - Vienna

Country: Austria

Notification of Registration: n. 2002805 of 17/01/2002

Registration no.: 1224

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2002805 of 17/01/2002)
2) Portfolio management (Notification 2002805 of 17/01/2002)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 2002805 of 17/01/2002)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8055260 of 10/06/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8055260 of 10/06/2008)

3) Placing of financial instruments without a firm commitment basis (Notification 8055260 of 10/06/2008)

4) Investment advice (Notification 8055260 of 10/06/2008)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 8055260 of 10/06/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TWELVE CAPITAL (UK) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093821/14 of 03/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4065</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0093821/14 of 03/12/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093821/14 of 03/12/2014)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0093821/14 of 03/12/2014)
4) Investment advice (Notification 0093821/14 of 03/12/2014)
5) Execution of orders on behalf of clients (Notification 0093821/14 of 03/12/2014)
6) Portfolio management (Notification 0093821/14 of 03/12/2014)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093821/14 of 03/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>TWENTYFOUR ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Monument Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r8af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9044050 of 12/05/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2588</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0087737/17 of 11/07/2017)
2) Portfolio management (Notification 0087737/17 of 11/07/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0087737/17 of 11/07/2017)
4) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 9044050 of 12/05/2009)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9044050 of 12/05/2009)
6) Investment advice (Notification 9044050 of 12/05/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>TWO SIGMA INTERNATIONAL LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>73 Watling Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec4m9bj - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0086157/14 of 31/10/2014</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4055</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086157/14 of 31/10/2014)

2) Investment advice (Notification 0086157/14 of 31/10/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 74543/13 of 16/09/2013)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 74543/13 of 16/09/2013)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 74543/13 of 16/09/2013)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 74543/13 of 16/09/2013)

5) Services related to underwriting (Notification 74543/13 of 16/09/2013)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 74543/13 of 16/09/2013)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 74543/13 of 16/09/2013)

8) Placing of financial instruments without a firm commitment basis (Notification 74543/13 of 16/09/2013)

9) Investment advice (Notification 74543/13 of 16/09/2013)

10) Execution of orders on behalf of clients (Notification 74543/13 of 16/09/2013)

11) Portfolio management (Notification 74543/13 of 16/09/2013)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 74543/13 of 16/09/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UBK MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>67, Spyrou Kyprianou Avenue,</td>
</tr>
<tr>
<td>City:</td>
<td>4003 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0041883/15 of 25/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4171</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0041883/15 of 25/05/2015)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0041883/15 of 25/05/2015)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0041883/15 of 25/05/2015)

4) Investment advice (Notification 0041883/15 of 25/05/2015)

5) Execution of orders on behalf of clients (Notification 0041883/15 of 25/05/2015)

6) Portfolio management (Notification 0041883/15 of 25/05/2015)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0041883/15 of 25/05/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: UBS ASSET MANAGEMENT (UK) LTD

Registered office: 5 Broadgate

City: Ec2m 2qs - Londra

Country: Regno Unito

Notification of Registration: n. 56904 of 25/07/2000

Registration no.: 1039

SERVICES PROVIDED IN ITALY

1) 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 (Notification 56904 of 25/07/2000)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 56904 of 25/07/2000)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 56904 of 25/07/2000)

4) Placing of financial instruments without a firm commitment basis (Notification 56904 of 25/07/2000)

5) Investment advice (Notification 56904 of 25/07/2000)

6) Execution of orders on behalf of clients (Notification 56904 of 25/07/2000)

7) Portfolio management (Notification 56904 of 25/07/2000)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 56904 of 25/07/2000)

9) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 7048932 of 29/05/2007)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7048932 of 29/05/2007)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7048932 of 29/05/2007)

4) Services related to underwriting (Notification 7048932 of 29/05/2007)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 7048932 of 29/05/2007)

6) Investment advice (Notification 7048932 of 29/05/2007)

7) Execution of orders on behalf of clients (Notification 7048932 of 29/05/2007)

8) Portfolio management (Notification 7048932 of 29/05/2007)

9) Dealing on own account (Notification 7048932 of 29/05/2007)

10) Reception and transmission of orders in relation to one or more financial instruments (Notification 7048932 of 29/05/2007)

11) Placing of financial instruments without a firm commitment basis (Notification 8092257 of 06/10/2008)

12) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8105165 of 18/11/2008)

13) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included...
under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 8105165 of 18/11/2008)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: UBS O’CONNOR LIMITED

Registered office: 5 Broadgate

City: Ec2m 2qs - Londra

Country: Regno Unito

Notification of Registration: n. 96022053 of 13/03/1996

Registration no.: 909

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 96022053 of 13/03/1996)

3) Investment advice (Notification 96022053 of 13/03/1996)

4) Execution of orders on behalf of clients (Notification 96022053 of 13/03/1996)

5) Portfolio management (Notification 96022053 of 13/03/1996)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 96022053 of 13/03/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UBS SECURITIES ESPANA SV SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Maria De Molina 4</td>
</tr>
<tr>
<td>City:</td>
<td>28010 - Madrid</td>
</tr>
<tr>
<td>Country:</td>
<td>Spagna</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3071514 of 03/11/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1394</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0090588/19 of 19/02/2019)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0090588/19 of 19/02/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 3071514 of 03/11/2003)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UBS SECURITIES FRANCE S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>65, Rue De Courcelles</td>
</tr>
<tr>
<td>City:</td>
<td>75008 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>744</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 98091139 of 26/11/1998)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 98091139 of 26/11/1998)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 98091139 of 26/11/1998)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 98091139 of 26/11/1998)
6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 98091139 of 26/11/1998)
11) Reception and transmission of orders in relation to one or more financial instruments (Notification 98091139 of 26/11/1998)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0033808/18 of 09/02/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0033808/18 of 09/02/2018)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0033808/18 of 09/02/2018)

4) Execution of orders on behalf of clients (Notification 0033808/18 of 09/02/2018)

5) Dealing on own account (Notification 0033808/18 of 09/02/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0033808/18 of 09/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UK BOND NETWORK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>5th Floor Cap House 9-12 Long Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a 9ha - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0112498/16 of 21/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4526</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0112498/16 of 21/12/2016)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0112498/16 of 21/12/2016)

3) Placing of financial instruments without a firm commitment basis (Notification 0112498/16 of 21/12/2016)

4) Execution of orders on behalf of clients (Notification 0112498/16 of 21/12/2016)

5) Dealing on own account (Notification 0112498/16 of 21/12/2016)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0112498/16 of 21/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UK CLEARING HOUSE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Tower 42, 25 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015157/14 of 25/02/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3916</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0015157/14 of 25/02/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0015157/14 of 25/02/2014)

3) Execution of orders on behalf of clients (Notification 0015157/14 of 25/02/2014)

4) Dealing on own account (Notification 0015157/14 of 25/02/2014)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015157/14 of 25/02/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UNIFORTUNE INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>58-60 Kensington Church Street</td>
</tr>
<tr>
<td>City:</td>
<td>W8 4db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8030630 of 03/04/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2268</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8030630 of 03/04/2008)

2) Investment advice (Notification 8030630 of 03/04/2008)

3) Portfolio management (Notification 8030630 of 03/04/2008)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8030630 of 03/04/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UNION INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>39 Cornhill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3nd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1046820 of 12/06/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1138</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 1046820 of 12/06/2001)
2) Portfolio management (Notification 1046820 of 12/06/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UNIQA ALTERNATIVE INVESTMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Praterstrasse 1-7</td>
</tr>
<tr>
<td>City:</td>
<td>1020 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2072577 of 06/11/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1319</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 2072577 of 06/11/2002)
2) Portfolio management (Notification 2072577 of 06/11/2002)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 2072577 of 06/11/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UNIQA FINANZ-SERVICE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Untere Donaustrasse 21</td>
</tr>
<tr>
<td>City:</td>
<td>1029 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 4106260 of 28/12/2004</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1504</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 4106260 of 28/12/2004)
2) Portfolio management (Notification 4106260 of 28/12/2004)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 4106260 of 28/12/2004)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UNIVERSAL SECURITIES AND INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12074775 of 17/09/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3508</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 12074775 of 17/09/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12074775 of 17/09/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UOB KAY HIAN (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0772608/19 of 03/12/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5136</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0772608/19 of 03/12/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UP TREND LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>6 Nikola Vapsarov Blvd.</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Sofia</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgária</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0198101/18 of 11/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4841</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0198101/18 of 11/06/2018)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0198101/18 of 11/06/2018)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0198101/18 of 11/06/2018)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0198101/18 of 11/06/2018)

5) Execution of orders on behalf of clients (Notification 0198101/18 of 11/06/2018)

6) Portfolio management (Notification 0198101/18 of 11/06/2018)

7) Dealing on own account (Notification 0198101/18 of 11/06/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0198101/18 of 11/06/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UR TRADE FIX LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>140 Vasileos Constantinou Tofias Building,</td>
</tr>
<tr>
<td>City:</td>
<td>3080 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0084202/16 of 21/09/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4474</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0084202/16 of 21/09/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0084202/16 of 21/09/2016)

3) Execution of orders on behalf of clients (Notification 0084202/16 of 21/09/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0084202/16 of 21/09/2016)

5) Portfolio management (Notification 0123264/17 of 02/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

DATE 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>US-KAPITALANLAGEN HANS-DIETER NEUEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Eschenbacherstr. 6</td>
</tr>
<tr>
<td>City:</td>
<td>50739 - Colonia</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8001836 of 08/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2157</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8001836 of 08/01/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8001836 of 08/01/2008)
3) Execution of orders on behalf of clients (Notification 8088159 of 25/09/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UTILYX RISK MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>55 North Wharf Road</td>
</tr>
<tr>
<td>City:</td>
<td>W2 1 La - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13052448 of 14/06/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3727</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13052448 of 14/06/2013)
2) Placing of financial instruments without a firm commitment basis (Notification 13052448 of 14/06/2013)
3) Investment advice (Notification 13052448 of 14/06/2013)
4) Execution of orders on behalf of clients (Notification 13052448 of 14/06/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13052448 of 14/06/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>UTR8 B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Groenmarktstraat 58</td>
</tr>
<tr>
<td>City:</td>
<td>3521 Av - Utrecht</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0008870/18 of 22/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4762</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0008870/18 of 22/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALBURY CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>85, Gresham Street 5th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11065876 of 25/07/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3208</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11065876 of 25/07/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11065876 of 25/07/2011)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 11065876 of 25/07/2011)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 11065876 of 25/07/2011)

5) Placing of financial instruments without a firm commitment basis (Notification 11065876 of 25/07/2011)

6) Execution of orders on behalf of clients (Notification 11065876 of 25/07/2011)

7) Dealing on own account (Notification 11065876 of 25/07/2011)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11065876 of 25/07/2011)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALERIA CAPITAL AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landstrasse 40</td>
</tr>
<tr>
<td>City:</td>
<td>9490 - Triesen</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025298/16 of 23/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4349</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0025298/16 of 23/03/2016)
2) Investment advice (Notification 0025298/16 of 23/03/2016)
3) Execution of orders on behalf of clients (Notification 0025298/16 of 23/03/2016)
4) Portfolio management (Notification 0025298/16 of 23/03/2016)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025298/16 of 23/03/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALEUR CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Grosvenor Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1x 7hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0002957/17 of 11/01/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4537</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0002957/17 of 11/01/2017)
2) Investment advice (Notification 0002957/17 of 11/01/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0002957/17 of 11/01/2017)
4) Placing of financial instruments without a firm commitment basis (Notification 0007259/18 of 17/01/2018)
5) Execution of orders on behalf of clients (Notification 0007259/18 of 17/01/2018)
6) Portfolio management (Notification 0131520/17 of 29/11/2017)
7) Dealing on own account (Notification 0131520/17 of 29/11/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALIANCE ADVISORS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12096600 of 12/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3575</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12096600 of 12/12/2012)
2) Investment advice (Notification 12096600 of 12/12/2012)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 12096600 of 12/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALIDAS N.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Koningslaan 34</td>
</tr>
<tr>
<td>City:</td>
<td>1075 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9002595 of 13/01/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2506</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 9002595 of 13/01/2009)

2) Investment advice (Notification 9002595 of 13/01/2009)

3) Execution of orders on behalf of clients (Notification 9002595 of 13/01/2009)

4) Portfolio management (Notification 9002595 of 13/01/2009)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 9002595 of 13/01/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALIDUS RISK MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>119-120 High Street Eton Windsor</td>
</tr>
<tr>
<td>City:</td>
<td>SL4 6an - Berkshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0087612/19 of 18/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4950</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087612/19 of 18/02/2019)
2) Investment advice (Notification 0087612/19 of 18/02/2019)
3) Execution of orders on behalf of clients (Notification 0087612/19 of 18/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALORI ASSET MANAGEMENT S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>43 Boulevard Joseph ii</td>
</tr>
<tr>
<td>City:</td>
<td>L1840 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0013200/15 of 23/02/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4108</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0013200/15 of 23/02/2015)  
2) Execution of orders on behalf of clients (Notification 0013200/15 of 23/02/2015)  
3) Portfolio management (Notification 0013200/15 of 23/02/2015)  
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0013200/15 of 23/02/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALUANALYSIS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 St.James'S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4ju - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075807/16 of 18/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4459</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075807/16 of 18/08/2016)
2) Investment advice (Notification 0075807/16 of 18/08/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075807/16 of 18/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALUE PARTNERS (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Berkeley Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1j8dz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0131396/18 of 30/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4816</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0131396/18 of 30/04/2018)
2) Investment advice (Notification 0131396/18 of 30/04/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0131396/18 of 30/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALUE-HOLDINGS VERMOGENSMANAGEMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Landsbergerstrasse 478</td>
</tr>
<tr>
<td>City:</td>
<td>81241 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0035135/14 of 29/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3966</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0035135/14 of 29/04/2014)
2) Execution of orders on behalf of clients (Notification 0035135/14 of 29/04/2014)
3) Portfolio management (Notification 0035135/14 of 29/04/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0035135/14 of 29/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VALUTRADES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>135 Cannon Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 5bp - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13041020 of 13/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3701</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 13041020 of 13/05/2013)
2) Dealing on own account (Notification 13041020 of 13/05/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13041020 of 13/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VANGUARD ASSET MANAGEMENT, LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Walbrook</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4n 8af - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11012837 of 23/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3083</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11012837 of 23/02/2011)
2) Portfolio management (Notification 11012837 of 23/02/2011)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 11012837 of 23/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: VANGUARD INVESTMENTS EUROPE SA

Registered office: 161 Dreve Richelle

City: 1410 - Waterloo

Country: Belgio

Notification of Registration: n. 7111454 of 21/12/2007

Registration no.: 2143

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 7111454 of 21/12/2007)
2) Investment advice (Notification 7111454 of 21/12/2007)
3) Portfolio management (Notification 7111454 of 21/12/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7111454 of 21/12/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VANILLA TECHNOLOGY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Rue Des Capucines</td>
</tr>
<tr>
<td>City:</td>
<td>75002 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 84350 of 14/11/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1060</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 84350 of 14/11/2000)
2) Execution of orders on behalf of clients (Notification 84350 of 14/11/2000)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 84350 of 14/11/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VANTAGE CAPITAL MARKETS LLP

Registered office: Equitable House, 47 King William Street

City: Ec4r 9af - Londra

Country: Regno Unito

Notification of Registration: n. 11054361 of 16/06/2011

Registration no.: 3180

SERVICES PROVIDED IN ITALY

1) Operation of an OTF (Notification 0085277/18 of 27/03/2018)
2) Dealing on own account (Notification 0100351/17 of 18/08/2017)
3) Execution of orders on behalf of clients (Notification 11054361 of 16/06/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11054361 of 16/06/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VANTAGE GLOBAL PRIME LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Centenary House (2nd Floor) Palliser Road</td>
</tr>
<tr>
<td>City:</td>
<td>W14 9eq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068858/13 of 12/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3768</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0068858/13 of 12/08/2013)
2) Dealing on own account (Notification 0068858/13 of 12/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068858/13 of 12/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>VANTAGE POINT CAPITAL LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>28 Leman Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>E18ew - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0428536/18 of 25/10/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4888</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0428536/18 of 25/10/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Investment Firm: VAR CAPITAL LIMITED

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>42 Brook Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>W1k5db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0039065/16 of 29/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4365</td>
</tr>
</tbody>
</table>

#### SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0039065/16 of 29/04/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0039065/16 of 29/04/2016)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0039065/16 of 29/04/2016)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0039065/16 of 29/04/2016)

5) Investment advice (Notification 0039065/16 of 29/04/2016)

6) Execution of orders on behalf of clients (Notification 0039065/16 of 29/04/2016)

7) Portfolio management (Notification 0039065/16 of 29/04/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VARCHEV FINANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>186 Vladislav Varnenchik Blvd. Fl.3 Office 4035</td>
</tr>
<tr>
<td>City:</td>
<td>9000 - Varna</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0005487/16 of 22/01/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4308</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0005487/16 of 22/01/2016)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0005487/16 of 22/01/2016)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0005487/16 of 22/01/2016)

4) Execution of orders on behalf of clients (Notification 0005487/16 of 22/01/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0005487/16 of 22/01/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>SERVICES PROVIDED IN ITALY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Placing of financial instruments without a firm commitment basis (Notification 0081903/13 of 16/10/2013)</td>
</tr>
<tr>
<td>2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 4097900 of 15/11/2004)</td>
</tr>
<tr>
<td>3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 4097900 of 15/11/2004)</td>
</tr>
<tr>
<td>4) Investment advice (Notification 4097900 of 15/11/2004)</td>
</tr>
<tr>
<td>5) Execution of orders on behalf of clients (Notification 4097900 of 15/11/2004)</td>
</tr>
<tr>
<td>6) Reception and transmission of orders in relation to one or more financial instruments (Notification 4097900 of 15/11/2004)</td>
</tr>
<tr>
<td>7) Portfolio management (Notification 6047650 of 26/05/2006)</td>
</tr>
<tr>
<td>8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VCP ADVISORS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>28 Ecclestone Square,</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1v 1nz - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11010861 of 16/02/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3078</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 11010861 of 16/02/2011)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11010861 of 16/02/2011)
3) Placing of financial instruments without a firm commitment basis (Notification 11010861 of 16/02/2011)
4) Investment advice (Notification 11010861 of 16/02/2011)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 11010861 of 16/02/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>VDX LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>4 Lombard Street</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Ec3v9hd - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 0372057/18 of 26/09/2018</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>4876</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0372057/18 of 26/09/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0372057/18 of 26/09/2018)

3) Execution of orders on behalf of clients (Notification 0372057/18 of 26/09/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0372057/18 of 26/09/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VEGA SWISS ASSET MANAGEMENT UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 North Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 6dj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12098507 of 20/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3582</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12098507 of 20/12/2012)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12098507 of 20/12/2012)
3) Investment advice (Notification 12098507 of 20/12/2012)
4) Execution of orders on behalf of clients (Notification 12098507 of 20/12/2012)
5) Portfolio management (Notification 12098507 of 20/12/2012)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12098507 of 20/12/2012)

Please make reference to the Supervisory home Authority [website](http://example.com) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VELES INTERNATIONAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 John Kennedy Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1075 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12020420 of 20/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3386</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) 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 (Notification 12020420 of 20/03/2012)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12020420 of 20/03/2012)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 12020420 of 20/03/2012)

4) Execution of orders on behalf of clients (Notification 12020420 of 20/03/2012)

5) Portfolio management (Notification 12020420 of 20/03/2012)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020420 of 20/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VELOCITY TRADE INTERNATIONAL LIMITED

Registered office: 8-9 Queen Street

City: Ec4n 1sp - Londra

Country: Regno Unito

Notification of Registration: n. 10005684 of 26/01/2010

Registration no.: 2759

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0100399/17 of 18/08/2017)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10005684 of 26/01/2010)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 10005684 of 26/01/2010)
4) Execution of orders on behalf of clients (Notification 10005684 of 26/01/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10005684 of 26/01/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(Date 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VENCAP INTERNATIONAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>King Charles House, Park End Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ox1 1jd - Oxford</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96026506 of 29/03/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>911</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 96026506 of 29/03/1996)
3) Execution of orders on behalf of clients (Notification 96026506 of 29/03/1996)
4) Portfolio management (Notification 96026506 of 29/03/1996)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 96026506 of 29/03/1996)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VENDOME ASSET MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Fitzhardinge Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6ef - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0064795/13 of 29/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3778</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0064795/13 of 29/07/2013)
2) Execution of orders on behalf of clients (Notification 0064795/13 of 29/07/2013)
3) Portfolio management (Notification 0064795/13 of 29/07/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0064795/13 of 29/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VENERO CAPITAL ADVISORS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20-22 Wenlock Road</td>
</tr>
<tr>
<td>City:</td>
<td>N1 7gu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0102250/18 of 09/04/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4806</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0102250/18 of 09/04/2018)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0102250/18 of 09/04/2018)

3) Investment advice (Notification 0102250/18 of 09/04/2018)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0102250/18 of 09/04/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VENICE INVESTMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dashwood House 69 Old Broad Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 1qs - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547852/19 of 13/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5077</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0547852/19 of 13/09/2019)
2) Investment advice (Notification 0547852/19 of 13/09/2019)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0547852/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VENTURE FOUNDERS LIMITED

Registered office: 25 North Row

City: W1k 6dj - Londra

Country: Regno Unito

Notification of Registration: n. 0054761/15 of 08/07/2015

Registration no.: 4206

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0054761/15 of 08/07/2015)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0054761/15 of 08/07/2015)

3) Placing of financial instruments without a firm commitment basis (Notification 0054761/15 of 08/07/2015)

4) Execution of orders on behalf of clients (Notification 0054761/15 of 08/07/2015)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0054761/15 of 08/07/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VERDISPAR SECURITIES ASA

Registered office: P.O.Box 1674 Vika

City: 0120 - Oslo

Country: Norvegia

Notification of Registration: n. 8068094 of 18/07/2008

Registration no.: 2361

SERVICES PROVIDED IN ITALY

1) 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 (Notification 8068094 of 18/07/2008)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8068094 of 18/07/2008)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 8068094 of 18/07/2008)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8068094 of 18/07/2008)

5) Services related to underwriting (Notification 8068094 of 18/07/2008)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 8068094 of 18/07/2008)

7) Placing of financial instruments without a firm commitment basis (Notification 8068094 of 18/07/2008)

8) Investment advice (Notification 8068094 of 18/07/2008)

9) Execution of orders on behalf of clients (Notification 8068094 of 18/07/2008)

10) Dealing on own account (Notification 8068094 of 18/07/2008)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 8068094 of 18/07/2008)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGRESS OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VERMEER INVESTMENT MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>130 Jermyn Street</td>
</tr>
<tr>
<td>City:</td>
<td>Se1y4ur - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0099251/19 of 22/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4958</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0099251/19 of 22/02/2019)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 0099251/19 of 22/02/2019)
3) Investment advice (Notification 0099251/19 of 22/02/2019)
4) Execution of orders on behalf of clients (Notification 0099251/19 of 22/02/2019)
5) Portfolio management (Notification 0099251/19 of 22/02/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0099251/19 of 22/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VERMEULEN-RAEMDONCK S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rue Du Commerce 10</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 23139 of 27/03/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>993</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 23139 of 27/03/2000)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 23139 of 27/03/2000)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 23139 of 27/03/2000)

4) Placing of financial instruments without a firm commitment basis (Notification 23139 of 27/03/2000)

5) Investment advice (Notification 23139 of 27/03/2000)

6) Execution of orders on behalf of clients (Notification 23139 of 27/03/2000)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 23139 of 27/03/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>VERMILION CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>42 Brook Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5db - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 00610055/13 of 17/07/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3751</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 00610055/13 of 17/07/2013)
2) Investment advice (Notification 00610055/13 of 17/07/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 00610055/13 of 17/07/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VERMOGENS ADVIES ADMINISTRATIE B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Rembrandt Tower, Iie Etage, Amstelplein 1</td>
</tr>
<tr>
<td>City:</td>
<td>1090 Gj - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2043167 of 17/06/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1277</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 2043167 of 17/06/2002)

2) Investment advice (Notification 2043167 of 17/06/2002)

3) Portfolio management (Notification 2043167 of 17/06/2002)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 2043167 of 17/06/2002)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VERMOGENSPARAPLU BEHEER BV

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>Amstelplein 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>1096 Ha - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6034981 of 25/04/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1645</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 6034981 of 25/04/2006)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6034981 of 25/04/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>Verno Capital UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 Dalyell Road</td>
</tr>
<tr>
<td>City:</td>
<td>Sw19 9sd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0239443/19 of 02/05/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5025</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0239443/19 of 02/05/2019)
2) Investment advice (Notification 0239443/19 of 02/05/2019)
3) Execution of orders on behalf of clients (Notification 0239443/19 of 02/05/2019)
4) Portfolio management (Notification 0239443/19 of 02/05/2019)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0239443/19 of 02/05/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VERTIS ENVIRONMENTAL FINANCIAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Csorsz Utca 45</td>
</tr>
<tr>
<td>City:</td>
<td>1124 - Budapest</td>
</tr>
<tr>
<td>Country:</td>
<td>Ungheria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0105650/19 of 26/02/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4964</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0105650/19 of 26/02/2019)
2. Foreign exchange services where these are connected to the provision of investment services (Notification 0105650/19 of 26/02/2019)
3. Investment advice (Notification 0105650/19 of 26/02/2019)
4. Dealing on own account (Notification 0105650/19 of 26/02/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VESTD LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>We Work 1 Fore Street Moorgate</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2y 5ej - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0015162/16 of 22/02/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4327</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0015162/16 of 22/02/2016)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0015162/16 of 22/02/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>VFX FINANCIAL PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>65 Leadenhall Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3a 2ad - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0066857/13 of 05/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3764</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0066857/13 of 05/08/2013)
2) Execution of orders on behalf of clients (Notification 0066857/13 of 05/08/2013)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0066857/13 of 05/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VIBHS FINANCIAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Token House 11-12 Tokenhouse Yard</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 7as - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0043012/16 of 11/05/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4383</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0043012/16 of 11/05/2016)
2) Portfolio management (Notification 0043012/16 of 11/05/2016)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043012/16 of 11/05/2016)
4) Dealing on own account (Notification 0101579/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VICASSET ADVISORS UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Bressenden Place</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5dh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0311102/18 of 16/08/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4862</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0311102/18 of 16/08/2018)
2) Execution of orders on behalf of clients (Notification 0311102/18 of 16/08/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0311102/18 of 16/08/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VICTORY FINANCIAL SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Queen Isabelle House Kingsclere Park Newbury</td>
</tr>
<tr>
<td>City:</td>
<td>Rg20 4sw - Berkshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7079596 of 30/08/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1843</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7079596 of 30/08/2007)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 7079596 of 30/08/2007)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VIE FINANCE A.E.P.E.Y.S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4,28 Th October Street 15124 Maroussi</td>
</tr>
<tr>
<td>City:</td>
<td>- Atene</td>
</tr>
<tr>
<td>Country:</td>
<td>Grecia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0136993/17 of 18/12/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4730</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0136993/17 of 18/12/2017)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0136993/17 of 18/12/2017)

3) Execution of orders on behalf of clients (Notification 0136993/17 of 18/12/2017)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0136993/17 of 18/12/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VINCO WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>County House St Mary’S Street</td>
</tr>
<tr>
<td>City:</td>
<td>Wr1 1hb - Worcester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0098536/17 of 09/08/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4652</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0098536/17 of 09/08/2017)  
2) Execution of orders on behalf of clients (Notification 0098536/17 of 09/08/2017)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0098536/17 of 09/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VIRTU FINANCIAL IRELAND LIMITED

Registered office: Whitaker Court, 28-29 Sir John Rogersons’S Quay

City: Dublin 2 - Dublino

Country: Irlanda

Notification of Registration: n. 12066921 of 08/08/2012

Registration no.: 3481

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0007255/18 of 17/01/2018)
2) Execution of orders on behalf of clients (Notification 0007255/18 of 17/01/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0007255/18 of 17/01/2018)
4) Dealing on own account (Notification 12066921 of 08/08/2012)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Services Provided in Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11073976 of 29/08/2011)</td>
</tr>
<tr>
<td>2) Operation of an MTF (Notification 8010154 of 04/02/2008)</td>
</tr>
<tr>
<td>3) Dealing on own account (Notification 8010154 of 04/02/2008)</td>
</tr>
<tr>
<td>4) Foreign exchange services where these are connected to the provision of investment services (Notification 98080329 of 13/10/1998)</td>
</tr>
<tr>
<td>5) Investment advice (Notification 98080329 of 13/10/1998)</td>
</tr>
<tr>
<td>6) Execution of orders on behalf of clients (Notification 98080329 of 13/10/1998)</td>
</tr>
<tr>
<td>7) Reception and transmission of orders in relation to one or more financial instruments (Notification 98080329 of 13/10/1998)</td>
</tr>
</tbody>
</table>

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VIRTU ITG UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7-11 Finsbury Circus</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2m 7eb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12069473 of 22/08/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3494</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 12069473 of 22/08/2012)
2) Execution of orders on behalf of clients (Notification 12069473 of 22/08/2012)
3) Dealing on own account (Notification 12069473 of 22/08/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12069473 of 22/08/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VIRTUE CAPITAL PARTNERS LTD

Registered office: Unit J Braintree Industrial Estate, Braintree Road

City: Ha4 0ej - Londra

Country: Regno Unito

Notification of Registration: n. 89277/13 of 14/11/2013

Registration no.: 3860

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 89277/13 of 14/11/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 89277/13 of 14/11/2013)

3) Investment advice (Notification 89277/13 of 14/11/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 89277/13 of 14/11/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VISHON UK LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>50 Sloane Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Sw33dd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10010177 of 05/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2774</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10010177 of 05/02/2010)
2) Investment advice (Notification 10010177 of 05/02/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10010177 of 05/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VISOR CAPITAL (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>96 Great Titchfield Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1w 6sq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7100998 of 14/11/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2059</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0099846/17 of 16/08/2017)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7100998 of 14/11/2007)
3) Execution of orders on behalf of clients (Notification 7100998 of 14/11/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7100998 of 14/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VISTABROKERS CIF LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8, John Kennedy Street</td>
</tr>
<tr>
<td>City:</td>
<td>3106 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0007310/14 of 30/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3899</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 *(Notification 0007310/14 of 30/01/2014)*

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level *(Notification 0007310/14 of 30/01/2014)*

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments *(Notification 0007310/14 of 30/01/2014)*

4) Foreign exchange services where these are connected to the provision of investment services *(Notification 0007310/14 of 30/01/2014)*

5) Execution of orders on behalf of clients *(Notification 0007310/14 of 30/01/2014)*

6) Reception and transmission of orders in relation to one or more financial instruments *(Notification 0007310/14 of 30/01/2014)*

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VMS-KEYTRADE.COM S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boulevard Du Souverain 100</td>
</tr>
<tr>
<td>City:</td>
<td>B 1170 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 1020021 of 19/03/2001</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1106</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 1020021 of 19/03/2001)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 1020021 of 19/03/2001)

3) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 1020021 of 19/03/2001)

4) Placing of financial instruments without a firm commitment basis (Notification 1020021 of 19/03/2001)

5) Execution of orders on behalf of clients (Notification 1020021 of 19/03/2001)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 1020021 of 19/03/2001)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VOGT ASSET MANAGEMENT AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Gagoz 73</td>
</tr>
<tr>
<td>City:</td>
<td>Fl 9496 - Balzers</td>
</tr>
<tr>
<td>Country:</td>
<td>Liechtenstein</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9070872 of 29/07/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2645</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9070872 of 29/07/2009)
2. Investment advice (Notification 9070872 of 29/07/2009)
3. Portfolio management (Notification 9070872 of 29/07/2009)
4. Reception and transmission of orders in relation to one or more financial instruments (Notification 9070872 of 29/07/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 12030705 of 18/04/2012)

2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12030705 of 18/04/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VOLTA CAPITAL LIMITED

Registered office: 72-82 Rosebery Avenue 2nd Floor

City: Ec1r 4rw - Londra

Country: Regno Unito

Notification of Registration: n. 0043574/17 of 04/04/2017

Registration no.: 4588

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0043574/17 of 04/04/2017)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0043574/17 of 04/04/2017)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0043574/17 of 04/04/2017)

4) Investment advice (Notification 0043574/17 of 04/04/2017)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0043574/17 of 04/04/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VORIANA CAPITAL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10071787 of 20/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2954</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10071787 of 20/08/2010)
2) Investment advice (Notification 10071787 of 20/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: VOYA INVESTMENT MANAGEMENT (UK) LIMITED

Registered office: 60 London Wall

City: Ec2m 5tq - Londra

Country: Regno Unito

Notification of Registration: n. 12020626 of 21/03/2012

Registration no.: 3382

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12020626 of 21/03/2012)
2) Investment advice (Notification 12020626 of 21/03/2012)
3) Execution of orders on behalf of clients (Notification 12020626 of 21/03/2012)
4) Portfolio management (Notification 12020626 of 21/03/2012)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12020626 of 21/03/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VPM VERMOGENSVERWALTUNGS AG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Singerstrabe 27</td>
</tr>
<tr>
<td>City:</td>
<td>1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99022234 of 23/03/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>932</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 99022234 of 23/03/1999)
2) Portfolio management (Notification 99022234 of 23/03/1999)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 99022234 of 23/03/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>VPR SAFE FINANCIAL GROUP LTD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1, Agias Fylaxeos</td>
</tr>
<tr>
<td>City:</td>
<td>3025 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0026390/15 of 07/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4149</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0015151/16 of 22/02/2016)
2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0026390/15 of 07/04/2015)
3) Execution of orders on behalf of clients (Notification 0026390/15 of 07/04/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0026390/15 of 07/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>VSA CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Austin Friars</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2n 2he - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8061596 of 30/06/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2341</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 8061596 of 30/06/2008)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 8061596 of 30/06/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: W H IRELAND LIMITED

Registered office: 11 St James Square Lancashire

City: M2 6wh - Manchester

Country: Regno Unito

Notification of Registration: n. 7095648 of 01/11/2007

Registration no.: 1918

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7095648 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7095648 of 01/11/2007)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7095648 of 01/11/2007)
4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7095648 of 01/11/2007)
5) Services related to underwriting (Notification 7095648 of 01/11/2007)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 7095648 of 01/11/2007)
7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7095648 of 01/11/2007)
8) Placing of financial instruments without a firm commitment basis (Notification 7095648 of 01/11/2007)
9) Investment advice (Notification 7095648 of 01/11/2007)
10) Execution of orders on behalf of clients (Notification 7095648 of 01/11/2007)
11) Portfolio management (Notification 7095648 of 01/11/2007)
12) Dealing on own account (Notification 7095648 of 01/11/2007)
13) Reception and transmission of orders in relation to one or more financial instruments (Notification 7095648 of 01/11/2007)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WALKER CRIPS INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Old Change House 128 Queen Victoria Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4v 4bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0548013/18 of 27/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4925</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0548013/18 of 27/12/2018)

2) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0548013/18 of 27/12/2018)

3) Placing of financial instruments without a firm commitment basis (Notification 0548013/18 of 27/12/2018)

4) Investment advice (Notification 0548013/18 of 27/12/2018)

5) Execution of orders on behalf of clients (Notification 0548013/18 of 27/12/2018)

6) Portfolio management (Notification 0548013/18 of 27/12/2018)

7) Dealing on own account (Notification 0548013/18 of 27/12/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0548013/18 of 27/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WALLWOOD CAPITAL MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>7, Wallwood Road</td>
</tr>
<tr>
<td>City:</td>
<td>E11 1dq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093525/15 of 09/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4278</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0093525/15 of 09/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WALTER SCOTT &amp; PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Milburn Tower- Gogar</td>
</tr>
<tr>
<td>City:</td>
<td>Eh12 9bs - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 84326 of 14/11/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1058</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Investment advice (Notification 84326 of 14/11/2000)
3) Execution of orders on behalf of clients (Notification 84326 of 14/11/2000)
4) Portfolio management (Notification 84326 of 14/11/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: WAVE SECURITIES LLP

Registered office: 11 Haymarket

City: Sw1y 4bp - Londra

Country: Regno Unito

Notification of Registration: n. 0073232/14 of 11/09/2014

Registration no.: 4032

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0073232/14 of 11/09/2014)
2) Execution of orders on behalf of clients (Notification 0073232/14 of 11/09/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0073232/14 of 11/09/2014)
4) Dealing on own account (Notification 0101557/17 of 24/08/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGSTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WAVERTON INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>21 St. James'S Square</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1y 4hb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 96056590 of 01/07/1996</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>864</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11053618 of 14/06/2011)

2) Services related to underwriting (Notification 11053618 of 14/06/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11053618 of 14/06/2011)

4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 11053618 of 14/06/2011)

5) Placing of financial instruments without a firm commitment basis (Notification 11053618 of 14/06/2011)

6) Execution of orders on behalf of clients (Notification 11053618 of 14/06/2011)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 11053618 of 14/06/2011)

8) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

9) Investment advice (Notification 96056590 of 01/07/1996)

10) Portfolio management (Notification 96056590 of 01/07/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WEALTH ADVISORY SOLUTIONS LTD

Registered office: 111 Buckingham Palace Road

City: Sw1 05sr - Londra

Country: Regno Unito

Notification of Registration: n. 0107598/16 of 05/12/2016

Registration no.: 4517

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0107598/16 of 05/12/2016)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0107598/16 of 05/12/2016)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0107598/16 of 05/12/2016)

4) Services related to underwriting (Notification 0107598/16 of 05/12/2016)

5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0107598/16 of 05/12/2016)

6) Foreign exchange services where these are connected to the provision of investment services (Notification 0107598/16 of 05/12/2016)

7) Investment advice (Notification 0107598/16 of 05/12/2016)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0107598/16 of 05/12/2016)

9) Execution of orders on behalf of clients (Notification 0118529/17 of 19/10/2017)

10) Portfolio management (Notification 0118529/17 of 19/10/2017)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WEALTH MANAGEMENT PARTNERS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Krijgsman 11</td>
</tr>
<tr>
<td>City:</td>
<td>1186 Dm - Amstelveen</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5056357 of 09/08/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1572</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 5056357 of 09/08/2005)
2) Portfolio management (Notification 5056357 of 09/08/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5056357 of 09/08/2005)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WEALTHKERNEL LIMITED

Registered office: 4-5 Bonhill Street

City: Ec2a4bx - Londra

Country: Regno Unito

Notification of Registration: n. 0101153/17 of 23/08/2017

Registration no.: 4657

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 0101153/17 of 23/08/2017)
2) Investment advice (Notification 0101153/17 of 23/08/2017)
3) Execution of orders on behalf of clients (Notification 0101153/17 of 23/08/2017)
4) Portfolio management (Notification 0101153/17 of 23/08/2017)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0101153/17 of 23/08/2017)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0127507/17 of 16/11/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0127507/17 of 16/11/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0127507/17 of 16/11/2017)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0127507/17 of 16/11/2017)

5) Services related to underwriting (Notification 0127507/17 of 16/11/2017)

6) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0127507/17 of 16/11/2017)

7) Foreign exchange services where these are connected to the provision of investment services (Notification 0127507/17 of 16/11/2017)

8) Investment advice (Notification 0127507/17 of 16/11/2017)

9) Execution of orders on behalf of clients (Notification 0127507/17 of 16/11/2017)

10) Portfolio management (Notification 0127507/17 of 16/11/2017)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0127507/17 of 16/11/2017)
Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WEATHERXCHANGE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>19 St Mary At Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3r 8ee - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 364 of 04/01/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>965</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 364 of 04/01/2000)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 364 of 04/01/2000)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WEBB TRADERS B.V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Nieuwerzijds Vooburgwal 120</td>
</tr>
<tr>
<td>City:</td>
<td>1012 Sh - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0025608/15 of 02/04/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4147</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0025608/15 of 02/04/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WEDBUSH EUROPE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Ironmonger Lane</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 8ey - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8107030 of 25/11/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2476</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 8107030 of 25/11/2008)
2) Dealing on own account (Notification 8107030 of 25/11/2008)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8107030 of 25/11/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

**DATE 10/01/2020**

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WELLINGTON MANAGEMENT EUROPE GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Bockenheimer Landstr. 43-47</td>
</tr>
<tr>
<td>City:</td>
<td>60325 - Francoforte</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0388956/19 of 04/07/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5047</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0388956/19 of 04/07/2019)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0388956/19 of 04/07/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 0388956/19 of 04/07/2019)
4) Investment advice (Notification 0388956/19 of 04/07/2019)
5) Portfolio management (Notification 0388956/19 of 04/07/2019)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0388956/19 of 04/07/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WELLINGTON MANAGEMENT INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>80 Victoria St</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5jl - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 3047015 of 15/07/2003</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1377</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Placing of financial instruments without a firm commitment basis (Notification 0024353/17 of 22/02/2017)
2) Foreign exchange services where these are connected to the provision of investment services (Notification 3047015 of 15/07/2003)
3) Investment advice (Notification 3047015 of 15/07/2003)
4) Execution of orders on behalf of clients (Notification 3047015 of 15/07/2003)
5) Portfolio management (Notification 3047015 of 15/07/2003)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 3047015 of 15/07/2003)
7) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
## REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WELLS FARGO ASSET MANAGEMENT (INTERNATIONAL) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33 King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 9at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 67339 of 13/09/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1046</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0087657/19 of 18/02/2019)
2) Investment advice (Notification 0087657/19 of 18/02/2019)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 67339 of 13/09/2000)
4) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 67339 of 13/09/2000)
5) Placing of financial instruments without a firm commitment basis (Notification 67339 of 13/09/2000)
6) Execution of orders on behalf of clients (Notification 67339 of 13/09/2000)
7) Portfolio management (Notification 67339 of 13/09/2000)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 67339 of 13/09/2000)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
SERVICES PROVIDED IN ITALY

1) 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 (Notification 0605387/19 of 07/10/2019)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0605387/19 of 07/10/2019)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0605387/19 of 07/10/2019)

4) Services related to underwriting (Notification 0605387/19 of 07/10/2019)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0605387/19 of 07/10/2019)

6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0605387/19 of 07/10/2019)

7) Placing of financial instruments without a firm commitment basis (Notification 0605387/19 of 07/10/2019)

8) Investment advice (Notification 0605387/19 of 07/10/2019)

9) Execution of orders on behalf of clients (Notification 0605387/19 of 07/10/2019)

10) Dealing on own account (Notification 0605387/19 of 07/10/2019)

11) Reception and transmission of orders in relation to one or more financial instruments (Notification 0605387/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WELLs FARGO SECURITIES INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>33, King William Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 9at - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 39208 of 23/05/2000</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1014</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11079647 of 23/09/2011)

2) Portfolio management (Notification 13056015 of 27/06/2013)

3) 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 (Notification 39208 of 23/05/2000)

4) Investment advice (Notification 39208 of 23/05/2000)

5) Execution of orders on behalf of clients (Notification 39208 of 23/05/2000)

6) Dealing on own account (Notification 39208 of 23/05/2000)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 39208 of 23/05/2000)

8) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7084072 of 18/09/2007)

9) Services related to underwriting (Notification 7084072 of 18/09/2007)

10) Foreign exchange services where these are connected to the provision of investment services (Notification 7084072 of 18/09/2007)

11) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 7084072 of 18/09/2007)

12) Placing of financial instruments without a firm commitment basis (Notification 7084072 of 18/09/2007)
13) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 7084072 of 01/11/2007)

14) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WESA-EFFECTEN B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Singel 540, Netherlands</td>
</tr>
<tr>
<td>City:</td>
<td>- Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 7108972 of 13/12/2007</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2111</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 7108972 of 13/12/2007)
2) Execution of orders on behalf of clients (Notification 7108972 of 13/12/2007)
3) Portfolio management (Notification 7108972 of 13/12/2007)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 7108972 of 13/12/2007)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WESSEX INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Wincombe Business Park Shaftesbury</td>
</tr>
<tr>
<td>City:</td>
<td>Sp7 9qj - Dorset</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5112</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)

2) Investment advice (Notification 0606228/19 of 07/10/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WEST HILL CORPORATE FINANCE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>85 Gresham Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v 7nq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0041882/15 of 25/05/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4172</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0041882/15 of 25/05/2015)
2) Investment advice (Notification 0041882/15 of 25/05/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0041882/15 of 25/05/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WESTERBY INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>15 Andover Street</td>
</tr>
<tr>
<td>City:</td>
<td>Le2 0ja - Leicester</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10090694 of 02/11/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3009</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10090694 of 02/11/2010)
2) Investment advice (Notification 10090694 of 02/11/2010)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 10090694 of 02/11/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WESTERN ASSET MANAGEMENT COMPANY LIMITED

Registered office: 10 Exchange Square

City: Ec2a 2en - Londra

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 140

SERVICES PROVIDED IN ITALY

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0097861/13 of 20/12/2013)
2) Investment advice (Notification 2027121 of 23/04/2002)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
4) Execution of orders on behalf of clients (Notification 96000620 of 03/01/1996)
5) Portfolio management (Notification 97069545 of 07/10/1997)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES  
(DATE 10/01/2020)  

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WESTHALL PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Savile Row</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3pn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0047843/18 of 22/02/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4777</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0047843/18 of 22/02/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0047843/18 of 22/02/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WESTMINSTER WEALTH MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>4th Floor Chronicle 72-78</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4y 1hy - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0086485/15 of 09/11/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4261</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0086485/15 of 09/11/2015)
2) Investment advice (Notification 0086485/15 of 09/11/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0086485/15 of 09/11/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WG PARTNERS LLP

Registered office: 85 Gresham Street

City: Ec2v 7nq - Londra

Country: Regno Unito

Notification of Registration: n. 0022769/15 of 30/03/2015

Registration no.: 4139

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0022769/15 of 30/03/2015)
2) Investment advice (Notification 0022769/15 of 30/03/2015)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022769/15 of 30/03/2015)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: W.G. WEALTH GUARDIAN LTD

Registered office: 1 Arch Viale Makarios III Ufficio 105

City: 2024 - Nicosia

Country: Cipro

Notification of Registration: n. 0085288/18 of 27/03/2018

Registration no.: 4796

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0085288/18 of 27/03/2018)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0085288/18 of 27/03/2018)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0085288/18 of 27/03/2018)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0085288/18 of 27/03/2018)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0085288/18 of 27/03/2018)

6) Investment advice (Notification 0085288/18 of 27/03/2018)

7) Portfolio management (Notification 0085288/18 of 27/03/2018)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0085288/18 of 27/03/2018)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WGM SERVICES LTD

Registered office: 12 Themistoki Dervi & 33 Frederikis Street

City: 1066 - Nicosia

Country: Cipro

Notification of Registration: n. 0025584/14 of 01/04/2014

Registration no.: 3937

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0025584/14 of 01/04/2014)

2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0025584/14 of 01/04/2014)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 0025584/14 of 01/04/2014)

4) Execution of orders on behalf of clients (Notification 0025584/14 of 01/04/2014)

5) Dealing on own account (Notification 0025584/14 of 01/04/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0025584/14 of 01/04/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WH SELFINVEST S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>291 Route D’Arlon</td>
</tr>
<tr>
<td>City:</td>
<td>1150 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5057043 of 12/08/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1579</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 5057043 of 12/08/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WHEB ASSET MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>23 Hanover Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 1jb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0075974/16 of 19/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4460</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0075974/16 of 19/08/2016)
2) Execution of orders on behalf of clients (Notification 0075974/16 of 19/08/2016)
3) Portfolio management (Notification 0075974/16 of 19/08/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075974/16 of 19/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WHIRLPOOL LUXEMBOURG INVESTMENTS SARL

Registered office: 560, Rue De Neudorf

City: L2220 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 0080849/14 of 13/10/2014

Registration no.: 4045

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0080849/14 of 13/10/2014)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0080849/14 of 13/10/2014)

3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0080849/14 of 13/10/2014)

4) Execution of orders on behalf of clients (Notification 0080849/14 of 13/10/2014)

5) Portfolio management (Notification 0080849/14 of 13/10/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0080849/14 of 13/10/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: **WHITE OAK CAPITAL MANAGEMENT (UK) LTD**

<table>
<thead>
<tr>
<th>Registered office:</th>
<th>The Wellspringswellspringsbrightwell-Cum-Sotwell</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Ox10 0rn - Wallingford - Oxfordshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0556659/19 of 17/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5084</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0556659/19 of 17/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WHITEBOX GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Am Kesselhaus 23</td>
</tr>
<tr>
<td>City:</td>
<td>79576 - Weil Am Rhein</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0039320/17 of 28/03/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4586</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0039320/17 of 28/03/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WHITECHURCH SECURITIES LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Old Chapel, 14 Fairview Drive, Redland</td>
</tr>
<tr>
<td>City:</td>
<td>Bs66ph - Bristol</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 001286/14 of 08/01/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3882</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 001286/14 of 08/01/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 001286/14 of 08/01/2014)

3) Investment advice (Notification 001286/14 of 08/01/2014)

4) Portfolio management (Notification 001286/14 of 08/01/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WHITECROFT CAPITAL MANAGEMENT LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Eaton Gate</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1w 9bj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0111143/17 of 28/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4687</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0111143/17 of 28/09/2017)
2) Execution of orders on behalf of clients (Notification 0111143/17 of 28/09/2017)
3) Portfolio management (Notification 0111143/17 of 28/09/2017)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0111143/17 of 28/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WHITEHELM CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>City Tower 40 Basinghall Street,</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2v5de - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 73845/13 of 11/09/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3808</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0017593/17 of 07/02/2017)
2) Portfolio management (Notification 0017593/17 of 07/02/2017)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 73845/13 of 11/09/2013)
4) Investment advice (Notification 73845/13 of 11/09/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 73845/13 of 11/09/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WHITMAN HOWARD LIMITED

Registered office: 1-3 Mount Street Cannaught House

City: W1k 3nb - Londra

Country: Regno Unito

Notification of Registration: n. 0040852/16 of 05/05/2016

Registration no.: 4373

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0040852/16 of 05/05/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0040852/16 of 05/05/2016)

3) Services related to underwriting (Notification 0040852/16 of 05/05/2016)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0040852/16 of 05/05/2016)

5) Placing of financial instruments without a firm commitment basis (Notification 0040852/16 of 05/05/2016)

6) Investment advice (Notification 0040852/16 of 05/05/2016)

7) Execution of orders on behalf of clients (Notification 0040852/16 of 05/05/2016)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 0040852/16 of 05/05/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WHOTRADES LTD

Registered office: 104 Amathountos Avenue

City: 4532 - Limassol

Country: Cipro

Notification of Registration: n. 7107463 of 06/12/2007

Registration no.: 2112

SERVICES PROVIDED IN ITALY

1) 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 (Notification 7107463 of 06/12/2007)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 7107463 of 06/12/2007)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 7107463 of 06/12/2007)

4) Execution of orders on behalf of clients (Notification 7107463 of 06/12/2007)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 7107463 of 06/12/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WIGMORE ASSOCIATES WEALTH MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20 Seymour Mews</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6bq - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0022964/16 of 17/03/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4346</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0022964/16 of 17/03/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0022964/16 of 17/03/2016)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WIJS &amp; VAN OOSTVEEN B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Herengracht 491</td>
</tr>
<tr>
<td>City:</td>
<td>1017 Bt - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 2076527 of 21/11/2002</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1324</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 2076527 of 21/11/2002)
2) Execution of orders on behalf of clients (Notification 2076527 of 21/11/2002)
3) Portfolio management (Notification 2076527 of 21/11/2002)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 2076527 of 21/11/2002)
5) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 5075329 of 14/11/2005)
6) Services related to underwriting (Notification 5075329 of 14/11/2005)
7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 5075329 of 14/11/2005)
8) Placing of financial instruments without a firm commitment basis (Notification 5075329 of 14/11/2005)
9) Dealing on own account (Notification 5075329 of 14/11/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WILFRED T. FRY (PERSONAL FINANCIAL PLANNING) LIMITED

Registered office: Crescent House, Crescent Road / Worthing

City: Bn11 1rn - West Sussex

Country: Regno Unito

Notification of Registration: n. 96000620 of 03/01/1996

Registration no.: 393

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0021087/16 of 10/03/2016)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

3) Investment advice (Notification 96000620 of 03/01/1996)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 96000620 of 03/01/1996)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WILLIAM BLAIR INTERNATIONAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>The Broadgate Tower 20 Primrose Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 2ew - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99033882 of 30/04/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>778</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 2017207 of 14/03/2002)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99033882 of 30/04/1999)
4) Investment advice (Notification 99033882 of 30/04/1999)
5) Execution of orders on behalf of clients (Notification 99033882 of 30/04/1999)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 99033882 of 30/04/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WILLIS TOWERS WATSON SECURITIES EUROPE LIMITED

Registered office: 51 Lime Strett

City: Ec3m 7dq - Londra

Country: Regno Unito

Notification of Registration: n. 2017698 of 18/03/2002

Registration no.: 1252

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 2017698 of 18/03/2002)
2) Investment advice (Notification 2017698 of 18/03/2002)
3) Execution of orders on behalf of clients (Notification 2017698 of 18/03/2002)
4) Portfolio management (Notification 2017698 of 18/03/2002)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 2017698 of 18/03/2002)
6) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WILLIS WELBY LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Dell House Wildernesse Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>Tn15 0ea - Sevenoaks</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10033274 of 14/04/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2832</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 10033274 of 14/04/2010)

2) Investment advice (Notification 10033274 of 14/04/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WILLOWBRIDGE EUROPE LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Castellain Road</td>
</tr>
<tr>
<td>City:</td>
<td>W9 1ey - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0074656/16 of 11/08/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4450</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0074656/16 of 11/08/2016)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0074656/16 of 11/08/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WILMINGTON CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>17 Wilmington Square</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1x 0er - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 99082851 of 10/11/1999</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>951</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 99082851 of 10/11/1999)
3) Investment advice (Notification 99082851 of 10/11/1999)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 99082851 of 10/11/1999)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WIMMER FAMILY OFFICE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>2 Swallow Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1b 2ae - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093500/15 of 09/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4277</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0093500/15 of 09/12/2015)
2) Execution of orders on behalf of clients (Notification 0093500/15 of 09/12/2015)
3) Portfolio management (Notification 0093500/15 of 09/12/2015)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093500/15 of 09/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WINDSOR BROKERS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>53 Spyrou Kyprianou Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>4004 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10012990 of 17/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2785</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0084675/13 of 25/10/2013)
2) Portfolio management (Notification 0084675/13 of 25/10/2013)
3) 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 (Notification 10012990 of 17/02/2010)
4) Dealing on own account (Notification 10012990 of 17/02/2010)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 10012990 of 17/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WINTERFLOOD SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>25 Dowgate Hill</td>
</tr>
<tr>
<td>City:</td>
<td>Ec4r 2ga - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11040471 of 09/05/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3141</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 11040471 of 09/05/2011)
2) Execution of orders on behalf of clients (Notification 11040471 of 09/05/2011)
3) Dealing on own account (Notification 11040471 of 09/05/2011)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 11040471 of 09/05/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WISDOMTREE IRELAND LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Mount Sreet Lower Clanwilliam Court</td>
</tr>
<tr>
<td>City:</td>
<td>D02c97 - Dublino</td>
</tr>
<tr>
<td>Country:</td>
<td>Irlanda</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0541517/18 of 21/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4919</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Placing of financial instruments without a firm commitment basis (Notification 0541517/18 of 21/12/2018)
2) Investment advice (Notification 0541517/18 of 21/12/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0541517/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WISDOMTREE UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3 Lombard Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 9aa - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 11054847 of 17/06/2011</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3172</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11054847 of 17/06/2011)  
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 11054847 of 17/06/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WISE INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Oxford Road</td>
</tr>
<tr>
<td>City:</td>
<td>Ox7 5qr - Oxon</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13000625 of 04/01/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3594</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13000625 of 04/01/2013)
2) Investment advice (Notification 13000625 of 04/01/2013)
3) Execution of orders on behalf of clients (Notification 13000625 of 04/01/2013)
4) Portfolio management (Notification 13000625 of 04/01/2013)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 13000625 of 04/01/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WISE WOLVES FINANCE LTD

Registered office: 30b Gladstonos Street

City: 3041 - Limassol

Country: Cipro

Notification of Registration: n. 0123266/17 of 02/11/2017

Registration no.: 4705

SERVICES PROVIDED IN ITALY

1) 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 (Notification 0123266/17 of 02/11/2017)

2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0123266/17 of 02/11/2017)

3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0123266/17 of 02/11/2017)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0123266/17 of 02/11/2017)

5) Foreign exchange services where these are connected to the provision of investment services (Notification 0123266/17 of 02/11/2017)

6) Execution of orders on behalf of clients (Notification 0123266/17 of 02/11/2017)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0123266/17 of 02/11/2017)

8) Dealing on own account (Notification 0342551/19 of 13/06/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WITT U CO WERTPAPIERVERMITTLUNGS GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Walter-Paetzmann - Street 3</td>
</tr>
<tr>
<td>City:</td>
<td>82008 - Unterhaching</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12016643 of 06/03/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3371</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Foreign exchange services where these are connected to the provision of investment services (Notification 12016643 of 06/03/2012)
2) Investment advice (Notification 12016643 of 06/03/2012)
3) Execution of orders on behalf of clients (Notification 12016643 of 06/03/2012)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 12016643 of 06/03/2012)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WONDERINTEREST TRADING LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Makariou 3rd Av. Paschalis Avenue House 176</td>
</tr>
<tr>
<td>City:</td>
<td>- Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0121586/17 of 27/10/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4702</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0121586/17 of 27/10/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0121586/17 of 27/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WOODBROOK GROUP LTD

Registered office: Franklin Roosevelt Avenue 152

City: 3045 - Limassol

Country: Cipro

Notification of Registration: n. 0084871/17 of 03/07/2017

Registration no.: 4626

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0084871/17 of 03/07/2017)

2) Investment advice (Notification 0084871/17 of 03/07/2017)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WOOZLE RESEARCH LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Unit 16 35 Corbridge Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>E29bt - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0010410/18 of 23/01/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4763</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0010410/18 of 23/01/2018)
2) Investment advice (Notification 0010410/18 of 23/01/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0010410/18 of 23/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>WRM CAPINVEST LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51 Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j5 Bb - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0061568/14 of 23/07/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4000</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 0061516/15 of 29/07/2015)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0075980/15 of 01/10/2015)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0075980/15 of 01/10/2015)
4) Investment advice (Notification 0075980/15 of 01/10/2015)
5) Execution of orders on behalf of clients (Notification 0075980/15 of 01/10/2015)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0075980/15 of 01/10/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: WS FINANCIAL ANDI INVESTMENT SERVICES LTD

Registered office: 12, Mikynon Street

City: 1065 - Nicosia

Country: Cipro

Notification of Registration: n. 11101191 of 23/12/2011

Registration no.: 3324

SERVICES PROVIDED IN ITALY

1) 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 (Notification 11101191 of 23/12/2011)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 11101191 of 23/12/2011)

3) Foreign exchange services where these are connected to the provision of investment services (Notification 11101191 of 23/12/2011)

4) Investment advice (Notification 11101191 of 23/12/2011)

5) Execution of orders on behalf of clients (Notification 11101191 of 23/12/2011)

6) Portfolio management (Notification 11101191 of 23/12/2011)

7) Dealing on own account (Notification 11101191 of 23/12/2011)

8) Reception and transmission of orders in relation to one or more financial instruments (Notification 11101191 of 23/12/2011)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>X GLOBAL MARKETS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>162, Fragklinou Rousvelt</td>
</tr>
<tr>
<td>City:</td>
<td>3045 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13044367 of 21/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3712</td>
</tr>
</tbody>
</table>

### SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 0079787/18 of 23/03/2018)
2) Dealing on own account (Notification 0453676/18 of 08/11/2018)
3) 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 (Notification 13044367 of 21/05/2013)
4) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 13044367 of 21/05/2013)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13044367 of 21/05/2013)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 13044367 of 21/05/2013)
7) Execution of orders on behalf of clients (Notification 13044367 of 21/05/2013)
8) Reception and transmission of orders in relation to one or more financial instruments (Notification 13044367 of 21/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>X SPOT MARKETS (EU) LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>68 Spyrou Kyprianou</td>
</tr>
<tr>
<td>City:</td>
<td>4154 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0092050/14 of 26/11/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4062</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0092050/14 of 26/11/2014)
2) Execution of orders on behalf of clients (Notification 0092050/14 of 26/11/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0092050/14 of 26/11/2014)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 0101328/16 of 14/11/2016)
5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0447988/18 of 06/11/2018)
6) 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 (Notification 0757239/19 of 27/11/2019)
7) Investment advice (Notification 0757239/19 of 27/11/2019)
8) Portfolio management (Notification 0757239/19 of 27/11/2019)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XAIA INVESTMENT GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Sonnenstrasse 19, D</td>
</tr>
<tr>
<td>City:</td>
<td>80331 - Monaco</td>
</tr>
<tr>
<td>Country:</td>
<td>Germania</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13040052 of 09/05/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3692</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 13040052 of 09/05/2013)  
2) Execution of orders on behalf of clients (Notification 13040052 of 09/05/2013)  
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 13040052 of 09/05/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XAINTRIE CAPITAL SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Boulevard De La Cambre 28 30b</td>
</tr>
<tr>
<td>City:</td>
<td>1000 - Bruxelles</td>
</tr>
<tr>
<td>Country:</td>
<td>Belgio</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0676743/19 of 31/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5131</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0676743/19 of 31/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XBZ LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>112-116 Tabernacle Street</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2a 4le - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6041167 of 10/05/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1647</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 6041167 of 10/05/2005)
2) Dealing on own account (Notification 6041167 of 10/05/2005)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6041167 of 10/05/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XCONNECT TRADING LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8 Old Jewry</td>
</tr>
<tr>
<td>City:</td>
<td>Ec2r 8dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 5072159 of 31/10/2005</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1586</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0398891/18 of 09/10/2018)
2) Dealing on own account (Notification 0398891/18 of 09/10/2018)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 5072159 of 31/10/2005)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### Register of EU Investment Firms: Without Branches

**Date:** 10/01/2020

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XHE CAPITAL LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>84 Brook Street Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1k 5eh - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0547850/19 of 13/09/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5079</td>
</tr>
</tbody>
</table>

#### Services Provided in Italy

1. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0547850/19 of 13/09/2019)
2. Investment advice (Notification 0547850/19 of 13/09/2019)
3. Execution of orders on behalf of clients (Notification 0547850/19 of 13/09/2019)
4. Portfolio management (Notification 0547850/19 of 13/09/2019)
5. Reception and transmission of orders in relation to one or more financial instruments (Notification 0547850/19 of 13/09/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XNT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Portomaso Tower Annex Level 7 Vjal Portomaso</td>
</tr>
<tr>
<td>City:</td>
<td>Stj4011 - Saint Julians</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0026062/14 of 02/04/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3938</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Execution of orders on behalf of clients (Notification 0026062/14 of 02/04/2014)
2. Reception and transmission of orders in relation to one or more financial instruments (Notification 0026062/14 of 02/04/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTRATION OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XTB LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13 -15, Gregori Afxentiou Street</td>
</tr>
<tr>
<td>City:</td>
<td>4003 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12095800 of 10/12/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3569</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Portfolio management (Notification 12095800 of 10/12/2012)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 12095800 of 10/12/2012)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XTB LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Marylebone Road, 7th Floor</td>
</tr>
<tr>
<td>City:</td>
<td>- Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0068331/14 of 13/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4011</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Execution of orders on behalf of clients (Notification 0068331/14 of 13/08/2014)
2) Dealing on own account (Notification 0068331/14 of 13/08/2014)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0068331/14 of 13/08/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>X-TRADE BROKERS DOM MAKLERSKI SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Ul. Ogrodowa 58</td>
</tr>
<tr>
<td>City:</td>
<td>00-876 - Varsavia</td>
</tr>
<tr>
<td>Country:</td>
<td>Polonia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0093504/14 of 02/12/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4067</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0093504/14 of 02/12/2014)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0093504/14 of 02/12/2014)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0093504/14 of 02/12/2014)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 0093504/14 of 02/12/2014)

5) Execution of orders on behalf of clients (Notification 0093504/14 of 02/12/2014)

6) Dealing on own account (Notification 0093504/14 of 02/12/2014)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0093504/14 of 02/12/2014)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: XTRADE EUROPE LTD

Registered office: 140, Vasileos Konstantinou Street

City: 3080 - Limassol

Country: Cipro

Notification of Registration: n. 10065910 of 27/07/2010

Registration no.: 2930

SERVICES PROVIDED IN ITALY

1) Dealing on own account (Notification 0096134/16 of 27/10/2016)
2) 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 (Notification 10065910 of 27/07/2010)
3) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10065910 of 27/07/2010)
4) Foreign exchange services where these are connected to the provision of investment services (Notification 10065910 of 27/07/2010)
5) Execution of orders on behalf of clients (Notification 10065910 of 27/07/2010)
6) Reception and transmission of orders in relation to one or more financial instruments (Notification 10065910 of 27/07/2010)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>XTX MARKETS LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>R7 14-18 Handyside Street</td>
</tr>
<tr>
<td>City:</td>
<td>N1c 4dn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0106069/16 of 30/11/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4515</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Dealing on own account (Notification 0106069/16 of 30/11/2016)
2) Execution of orders on behalf of clients (Notification 0541717/18 of 21/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XTX MARKETS SAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>3-5, Rue Saint Georges,</td>
</tr>
<tr>
<td>City:</td>
<td>75009 - Parigi</td>
</tr>
<tr>
<td>Country:</td>
<td>Francia</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0155846/19 of 22/03/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4978</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) **Dealing on own account (Notification 0155846/19 of 22/03/2019)**

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>XY ERS UK LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 St Martin’s Le Grand</td>
</tr>
<tr>
<td>City:</td>
<td>Ec1a4en - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0045521/14 of 30/05/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3974</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0045521/14 of 30/05/2014)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0045521/14 of 30/05/2014)
3) Services related to underwriting (Notification 0045521/14 of 30/05/2014)
4) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0045521/14 of 30/05/2014)
5) Foreign exchange services where these are connected to the provision of investment services (Notification 0045521/14 of 30/05/2014)
6) Investment advice (Notification 0045521/14 of 30/05/2014)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 0045521/14 of 30/05/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: YOUMEX INVEST AG
Registered office: Taunusanlage 19
City: 60325 - Frankfurt Am Main
Country: Germania
Notification of Registration: n. 0065580/13 of 31/07/2013
Registration no.: 3759

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0065580/13 of 31/07/2013)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0065580/13 of 31/07/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 0065580/13 of 31/07/2013)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0065580/13 of 31/07/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZAGORA FINACORP AD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10 Dobrudzha Street</td>
</tr>
<tr>
<td>City:</td>
<td>6300 - Haskovo</td>
</tr>
<tr>
<td>Country:</td>
<td>Bulgaria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0504800/18 of 05/12/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4906</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Reception and transmission of orders in relation to one or more financial instruments (Notification 0504800/18 of 05/12/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: ZAIS GROUP (UK) LTD

Registered office: 25 Hanover Square,

City: W1s 1jf - Londra

Country: Regno Unito

Notification of Registration: n. 0072928/14 of 10/09/2014

Registration no.: 4026

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0072928/14 of 10/09/2014)
2) Execution of orders on behalf of clients (Notification 0072928/14 of 10/09/2014)
3) Portfolio management (Notification 0072928/14 of 10/09/2014)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0072928/14 of 10/09/2014)
5) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0074989/14 of 19/09/2014)

Please make reference to the Supervisory home Authority [website] in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZANBATO UK LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>34 Portland Road</td>
</tr>
<tr>
<td>City:</td>
<td>W114lg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0095721/15 of 18/12/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4283</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0095721/15 of 18/12/2015)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0095721/15 of 18/12/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZAOUI &amp; CO LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>35 Portman Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1h 6lr - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 13010650 of 07/02/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3628</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 13010650 of 07/02/2013)
2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 13010650 of 07/02/2013)
3) Investment advice (Notification 13010650 of 07/02/2013)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 13010650 of 07/02/2013)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZARK CAPITAL LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>128 Wigmore Street</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 3s - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070738/14 of 29/08/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4115</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1. Investment advice (Notification 0070738/14 of 29/08/2014)
2. Execution of orders on behalf of clients (Notification 0070738/14 of 29/08/2014)
3. Reception and transmission of orders in relation to one or more financial instruments (Notification 0070738/14 of 29/08/2014)
4. Dealing on own account (Notification 0101576/17 of 24/08/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZEAL CAPITAL MARKET (UK) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Royal Exchange</td>
</tr>
<tr>
<td>City:</td>
<td>Ec3v 3dg - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0079791/18 of 23/03/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4793</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Execution of orders on behalf of clients (Notification 0079791/18 of 23/03/2018)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0079791/18 of 23/03/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZELOF &amp; PARTNERS LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>10-12 Cork Street, Pollen House</td>
</tr>
<tr>
<td>City:</td>
<td>W1s 3np - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0070580/13 of 27/08/2013</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3784</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0070580/13 of 27/08/2013)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0070580/13 of 27/08/2013)

3) Placing of financial instruments without a firm commitment basis (Notification 0070580/13 of 27/08/2013)

4) Investment advice (Notification 0070580/13 of 27/08/2013)

5) Portfolio management (Notification 0070580/13 of 27/08/2013)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0070580/13 of 27/08/2013)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZEMBLANCO INVESTMENTS LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>8, Riga Fereou Street</td>
</tr>
<tr>
<td>City:</td>
<td>3095 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0035120/16 of 19/04/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4361</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0035120/16 of 19/04/2016)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0035120/16 of 19/04/2016)

3) Execution of orders on behalf of clients (Notification 0035120/16 of 19/04/2016)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0035120/16 of 19/04/2016)

5) Dealing on own account (Notification 0060886/18 of 06/03/2018)

6) 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 (Notification 0120481/17 of 25/10/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZENFINEX LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Peel House 32-44 London Road Morden</td>
</tr>
<tr>
<td>City:</td>
<td>Sm4 5bx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0594181/19 of 02/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5090</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0594181/19 of 02/10/2019)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0594181/19 of 02/10/2019)

3) Execution of orders on behalf of clients (Notification 0594181/19 of 02/10/2019)

4) Dealing on own account (Notification 0594181/19 of 02/10/2019)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0594181/19 of 02/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZEPHYRUS PARTNERS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>18 Belsize Crescent</td>
</tr>
<tr>
<td>City:</td>
<td>Nw3 5qu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8005801 of 22/01/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2188</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 8005801 of 22/01/2008)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8005801 of 22/01/2008)

3) Investment advice (Notification 8005801 of 22/01/2008)

4) Reception and transmission of orders in relation to one or more financial instruments (Notification 8005801 of 22/01/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>ZERICH SECURITIES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>13-15 Grigori Afxentiou Mesa Geitonia</td>
</tr>
<tr>
<td>City:</td>
<td>4003 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10070120 of 10/08/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2940</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 10070120 of 10/08/2010)

2) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 10070120 of 10/08/2010)

3) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 10070120 of 10/08/2010)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 10070120 of 10/08/2010)

5) Execution of orders on behalf of clients (Notification 10070120 of 10/08/2010)

6) Portfolio management (Notification 10070120 of 10/08/2010)

7) Reception and transmission of orders in relation to one or more financial instruments (Notification 10070120 of 10/08/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

Investment firm: ZEUS CAPITAL LIMITED

Registered office: 3 Ralli Courts West Riverside

City: M3 5ft - Manchester

Country: Regno Unito

Notification of Registration: n. 7054157 of 12/06/2007

Registration no.: 1807

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 7054157 of 12/06/2007)

2) Investment advice (Notification 7054157 of 12/06/2007)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 7054157 of 12/06/2007)

4) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 7098302 of 01/11/2007)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th>ZZ VERMOGENSVERWALTUNG GMBH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Coburgbastei 4</td>
</tr>
<tr>
<td>City:</td>
<td>A-1010 - Vienna</td>
</tr>
<tr>
<td>Country:</td>
<td>Austria</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 6078621 of 04/10/2006</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>1714</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Portfolio management (Notification 6078621 of 04/10/2006)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 6078621 of 04/10/2006)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>1ST FINANCIAL SERVICES (LONDON) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>11 Shirwell Crescent Furzton Milton Keynes</td>
</tr>
<tr>
<td>City:</td>
<td>Mk4 1ga - Buckinghamshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0606228/19 of 07/10/2019</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>5095</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0606228/19 of 07/10/2019)

2) Investment advice (Notification 0606228/19 of 07/10/2019)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 0606228/19 of 07/10/2019)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>10AK CAPITAL LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>51 Hay’S Mews, Mayfair</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 5qj - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 9101062 of 03/12/2009</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2734</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 9101062 of 03/12/2009)
2) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 9101062 of 03/12/2009)
3) Foreign exchange services where these are connected to the provision of investment services (Notification 9101062 of 03/12/2009)
4) Investment advice (Notification 9101062 of 03/12/2009)
5) Execution of orders on behalf of clients (Notification 9101062 of 03/12/2009)
6) Portfolio management (Notification 9101062 of 03/12/2009)
7) Reception and transmission of orders in relation to one or more financial instruments (Notification 9101062 of 03/12/2009)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: 1167 CAPITAL LLP

Registered office: 26-27 Bedford Square

City: Wc1b 3hp - Londra

Country: Regno Unito

Notification of Registration: n. 0006106/18 of 15/01/2018

Registration no.: 4755

SERVICES PROVIDED IN ITALY

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0006106/18 of 15/01/2018)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0006106/18 of 15/01/2018)

3) Investment advice (Notification 0006106/18 of 15/01/2018)

4) Execution of orders on behalf of clients (Notification 0006106/18 of 15/01/2018)

5) Portfolio management (Notification 0006106/18 of 15/01/2018)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0006106/18 of 15/01/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>1875 FINANCE (LUXEMBOURG) SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>41 Boulevarde Prince Henri</td>
</tr>
<tr>
<td>City:</td>
<td>L1724 - Lussemburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Lussemburgo</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0114078/16 of 28/12/2016</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4531</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0114078/16 of 28/12/2016)

2) Investment advice (Notification 0114078/16 of 28/12/2016)

3) Execution of orders on behalf of clients (Notification 0114078/16 of 28/12/2016)

4) Portfolio management (Notification 0114078/16 of 28/12/2016)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0114078/16 of 28/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: 2 PM EUROPE S.A.

Registered office: 17a Rue Des Bains

City: L 1212 - Lussemburgo

Country: Lussemburgo

Notification of Registration: n. 0114075/16 of 28/12/2016

Registration no.: 4530

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0114075/16 of 28/12/2016)
2) Execution of orders on behalf of clients (Notification 0114075/16 of 28/12/2016)
3) Portfolio management (Notification 0114075/16 of 28/12/2016)
4) Reception and transmission of orders in relation to one or more financial instruments (Notification 0114075/16 of 28/12/2016)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>2H WEALTHCARE LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>22 Wycombe End, Beaconsfield</td>
</tr>
<tr>
<td>City:</td>
<td>Hp9 1np - Buckinghamshire</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 8019527 of 03/03/2008</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2240</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 8019527 of 03/03/2008)

2) Investment advice (Notification 8019527 of 03/03/2008)

3) Reception and transmission of orders in relation to one or more financial instruments (Notification 8019527 of 03/03/2008)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>2R CAPITAL INVESTMENT MANAGEMENT LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Second Floor Berkeley Square</td>
</tr>
<tr>
<td>City:</td>
<td>W1j 6bd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0341954/18 of 06/09/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4871</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) 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 (Notification 0341954/18 of 06/09/2018)
2) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0341954/18 of 06/09/2018)
3) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0341954/18 of 06/09/2018)
4) Services related to underwriting (Notification 0341954/18 of 06/09/2018)
5) Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under points (5), (6), (7) and (10) of Section C where these are connected to the provision of investment or ancillary services (Notification 0341954/18 of 06/09/2018)
6) Foreign exchange services where these are connected to the provision of investment services (Notification 0341954/18 of 06/09/2018)
7) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis (Notification 0341954/18 of 06/09/2018)
8) Placing of financial instruments without a firm commitment basis (Notification 0341954/18 of 06/09/2018)
9) Investment advice (Notification 0341954/18 of 06/09/2018)
10) Execution of orders on behalf of clients (Notification 0341954/18 of 06/09/2018)
11) Portfolio management (Notification 0341954/18 of 06/09/2018)
12) Reception and transmission of orders in relation to one or more financial instruments (Notification 0341954/18 of 06/09/2018)
Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
### REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>3D GLOBAL FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>61 Agios Athanasios &amp; Kantaras Street</td>
</tr>
<tr>
<td>City:</td>
<td>4102 - Limassol</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10025794 of 23/03/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2818</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 10025794 of 23/03/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10025794 of 23/03/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>3I EUROPE PLC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>16 Palace Street</td>
</tr>
<tr>
<td>City:</td>
<td>Sw1e 5jd - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 10012363 of 15/02/2010</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>2794</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 10012363 of 15/02/2010)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 10012363 of 15/02/2010)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
**REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES**  
*(DATE 10/01/2020)*

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th><strong>360 FUND INSIGHT LIMITED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>29 Gloucester Place</td>
</tr>
<tr>
<td>City:</td>
<td>W1u 8hx - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0206250/18 of 14/06/2018</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4842</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 0206250/18 of 14/06/2018)
2) Investment advice (Notification 0206250/18 of 14/06/2018)
3) Execution of orders on behalf of clients (Notification 0206250/18 of 14/06/2018)
4) Portfolio management (Notification 0206250/18 of 14/06/2018)
5) Reception and transmission of orders in relation to one or more financial instruments (Notification 0206250/18 of 14/06/2018)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: 360 TREASURY SYSTEMS AG

Registered office: Grueneburgweg 16-18

City: 60322 - Frankfurt Am Main

Country: Germania

Notification of Registration: n. 6092962 of 21/11/2006

Registration no.: 1736

SERVICES PROVIDED IN ITALY

1) Investment advice (Notification 0095232/17 of 31/07/2017)
2) Operation of an MTF (Notification 0095232/17 of 31/07/2017)
3) Reception and transmission of orders in relation to one or more financial instruments (Notification 6092962 of 21/11/2006)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>4 THE RECORD COMPLIANCE LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>20-22 Wenlock Road</td>
</tr>
<tr>
<td>City:</td>
<td>N1 7gu - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0094843/17 of 31/07/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4647</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0094843/17 of 31/07/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0094843/17 of 31/07/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
# REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES

(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>4BIO VENTURES MANAGEMENT LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>14 Gray'S Inn Road</td>
</tr>
<tr>
<td>City:</td>
<td>Wc1x 8hn - Londra</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0104837/17 of 07/09/2017</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4668</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 0104837/17 of 07/09/2017)
2) Reception and transmission of orders in relation to one or more financial instruments (Notification 0104837/17 of 07/09/2017)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
Investment firm: 42 FINANCIAL SERVICES, A.S.

Registered office: Praha 1, Klimentoska 1216/46

City: 11000 - Praga

Country: Repubblica Ceca

Notification of Registration: n. 12022004 of 26/03/2012

Registration no.: 3387

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 12022004 of 26/03/2012)

2) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments (Notification 12022004 of 26/03/2012)

3) Services related to underwriting (Notification 12022004 of 26/03/2012)

4) Foreign exchange services where these are connected to the provision of investment services (Notification 12022004 of 26/03/2012)

5) Placing of financial instruments without a firm commitment basis (Notification 12022004 of 26/03/2012)

6) Investment advice (Notification 12022004 of 26/03/2012)

7) Execution of orders on behalf of clients (Notification 12022004 of 26/03/2012)

8) Portfolio management (Notification 12022004 of 26/03/2012)

9) Reception and transmission of orders in relation to one or more financial instruments (Notification 12022004 of 26/03/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th><strong>Investment firm:</strong></th>
<th><strong>7DAYS AHEAD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registered office:</strong></td>
<td>124 Regents Park Road</td>
</tr>
<tr>
<td><strong>City:</strong></td>
<td>Nw18xl - Londra</td>
</tr>
<tr>
<td><strong>Country:</strong></td>
<td>Regno Unito</td>
</tr>
<tr>
<td><strong>Notification of Registration:</strong></td>
<td>n. 11069715 of 09/08/2011</td>
</tr>
<tr>
<td><strong>Registration no.:</strong></td>
<td>3228</td>
</tr>
</tbody>
</table>

**SERVICES PROVIDED IN ITALY**

1) Investment advice (Notification 11069715 of 09/08/2011)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>7IM FINANCIAL SOLUTIONS LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>1 Earl Grey Street</td>
</tr>
<tr>
<td>City:</td>
<td>Eh3 9bn - Edimburgo</td>
</tr>
<tr>
<td>Country:</td>
<td>Regno Unito</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0048872/14 of 11/06/2014</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3976</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 0048872/14 of 11/06/2014)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 0048872/14 of 11/06/2014)

3) Investment advice (Notification 0048872/14 of 11/06/2014)

4) Execution of orders on behalf of clients (Notification 0048872/14 of 11/06/2014)

5) Portfolio management (Notification 0048872/14 of 11/06/2014)

6) Reception and transmission of orders in relation to one or more financial instruments (Notification 0048872/14 of 11/06/2014)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
REGISTER OF EU INVESTMENT FIRMS: WITHOUT BRANCHES
(DATE 10/01/2020)

<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>7Q FINANCIAL SERVICES LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>12-14 Kennedy Avenue</td>
</tr>
<tr>
<td>City:</td>
<td>1087 - Nicosia</td>
</tr>
<tr>
<td>Country:</td>
<td>Cipro</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 12028805 of 12/04/2012</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>3398</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding providing and maintaining securities accounts at the top tier level (Notification 12028805 of 12/04/2012)

2) Foreign exchange services where these are connected to the provision of investment services (Notification 12028805 of 12/04/2012)

3) Investment advice (Notification 12028805 of 12/04/2012)

4) Portfolio management (Notification 12028805 of 12/04/2012)

5) Reception and transmission of orders in relation to one or more financial instruments (Notification 12028805 of 12/04/2012)

Please make reference to the Supervisory home Authority website in order to obtain information on the firm and on its potential operating restrictions.
<table>
<thead>
<tr>
<th>Investment firm:</th>
<th>9STREET CAPITAL MARKETS B.V.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered office:</td>
<td>Keizersgracht 307</td>
</tr>
<tr>
<td>City:</td>
<td>1016 - Amsterdam</td>
</tr>
<tr>
<td>Country:</td>
<td>Paesi Bassi</td>
</tr>
<tr>
<td>Notification of Registration:</td>
<td>n. 0066837/15 of 19/08/2015</td>
</tr>
<tr>
<td>Registration no.:</td>
<td>4224</td>
</tr>
</tbody>
</table>

SERVICES PROVIDED IN ITALY

1) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings (Notification 0066837/15 of 19/08/2015)

Please make reference to the Supervisory home Authority [website](#) in order to obtain information on the firm and on its potential operating restrictions.