

ANNEX 1

**NOTIFICATION SHEET FOR BRITISH INVESTMENT COMPANIES THAT, AT THE DATE OF
WITHDRAWAL, PROVIDE INVESTMENT SERVICES AND ACTIVITIES IN ITALY
UNDER THE FREEDOM TO PROVIDE SERVICES**

to be sent in an Excel file structured according to the table below

PART 1: INFORMATION

Company name	
LEI of the company	
Company trade name	
Company address	
Telephone	
Email	
Contact person	

PART 2: SERVICES THE COMPANY INTENDS TO PROVIDE IN ITALY UNDER THE FREEDOM TO PROVIDE

		INVESTMENT SERVICES AND ACTIVITIES									ANCILLARY SERVICES						
		A1	A2	A3	A4	A5	A6	A7	A8	A9	B1	B2	B3	B4	B5	B6	B7
FINANCIAL INSTRUMENTS	C1																
	C2																
	C3																
	C4																
	C5																
	C6																
	C7																
	C8																
	C9																
	C10																
	C11																

* Please mark the appropriate cell with an X

Legend:

Section A: List of investment services and activities:

A1	reception and transmission of orders in relation to one or more financial instruments
A2	execution of orders on behalf of clients
A3	dealing on own account
A4	portfolio management
A5	investment advice
A6	underwriting of financial instruments and/or placing financial instruments on a firm commitment basis
A7	placing of financial instruments without a firm commitment basis
A8	operation of a MTF
A9	operation of an OTF

Section B: List of ancillary services

B1	Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management and excluding maintaining securities accounts at the top tier level;
B2	Granting credits or loans an investor to allow them to perform a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction
B3	Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings
B4	Foreign exchange services where these are connected to the provision of investment services
B5	Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments
B6	Services related to underwriting
B7	Investment services and activities as well as ancillary services of the type included under sections A or B of this Annex related to the underlying of the derivatives included under points (5), (6), (7) and (10) of section C where these are connected to the provision of investment or ancillary services

Section C: List of financial instruments

C1	Transferable Securities
C2	Money market instruments
C3	Units in collective investment undertakings
C4	Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, emission allowances or other derivative instruments, financial indices or financial measures which may be settled physically or in cash
C5	Options, futures, swaps, forwards and any other derivative contracts relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties other than by reason of default or other termination event
C6	Options, futures, swaps and any other derivative contract relating to commodities that can be physically settled provided that they are

	traded on a regulated market, a Multilateral Trading Facility, or an Organized Trading Facility, except for wholesale energy products traded on an OTF that must be physically settled
C7	Options, futures, swaps, forwards and any other derivative contracts relating to commodities , that can be physically settled not otherwise mentioned in point 6 of this section and not being for commercial purposes, which have the characteristics of other derivative financial instruments
C8	Derivative instruments for the transfer of credit risk
C9	Financial contracts for differences
C10	Options, futures, swaps, forward rate agreement and other derivative contracts relating to climatic variables, freight rates or inflation rates or other official economic statistics that must be settled in cash or may be settled in cash at the option of one of the parties other than by reason of default or other termination event, as well as any other derivative contracts relating to assets, rights, obligations, indices and measures, not otherwise mentioned in this section, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are traded on a regulated market, an Organised Trading Facility, or a Multilateral Trading Facility
C11	Emission allowances consisting of any units recognised for compliance with the requirements of Directive 2003/87/EC (Emissions Trading Scheme)