



Annex Communication FSMA_2018_08_1 of 6/19/2018

Provision of investment services and activities passport notification Article 34 of Directive 2014/65/UE

This form should be filled out in case of notification and of modification of an existing notification regarding the provision of investment services and activities in another Member State. In the latter case, please complete only the parts of the form which are relevant for to the notified changes. **If the changes purport to the investment services, activities or financial instruments, please list all the investment services, activities, or financial instruments the firm and/or its tied agent will provide in the future.**

1 General information

Date of notification	[Date]
Type of notification	New notification / Modification of notification
Home Member State of the investment firm	BELGIUM
Authorisation status of the investment firm	Authorised by the FSMA since [Date]
Member State in which the investment firm intends to operate	[]

2 Details of the investment firm

Name of the investment firm	
Trading name	
Address	
Telephone number	
Email	
Name of the contact person at the investment firm	

3 Program of operations

3.1 Investment services, activities and ancillary services the firm intends to provide (*)

(*) Please place an (x) in the appropriate boxes.

		Investment services and activities ¹									Ancillary services ³						
		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																

A description of the investment services, activities, ancillary services and financial instruments is available at the end of this form.

3.2 Tied agents located in the home Member State intending to provide investment services and/or investment activities in the host Member State

3.2.1 Details of tied agents

Name of the tied agent	Address	Telephone	Email	Contact

¹ Investment firms under the supervision of the FSMA can only provide the investment services and activities A1, A2, A4, A5 and the ancillary services B3, B5, B7. Investment firms who can also provide the other investment services, activities and ancillary services are under the supervision of the National Bank of Belgium.

3.2.2 Investment services the tied agent intends to provide (*)

(*) Please place an (x) in the appropriate box.

		Investment services and activities ²									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																

The personal data which you have provided to the FSMA via this form will be processed by the FSMA as set out in its [Privacy Policy](#).

² Tied agents can only provide the investment services A1 and A5, to the extent to which the investment firm is licensed for such services.

SECTION A

Investment services and activities

- (1) Reception and transmission of orders in relation to one or more financial instruments;
- (2) Execution of orders on behalf of clients;
- (3) Dealing on own account;
- (4) Portfolio management;
- (5) Investment advice;
- (6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis;
- (7) Placing of financial instruments without a firm commitment basis;
- (8) Operation of an MTF;
- (9) Operation of an OTF.

Section B

Ancillary services

- (1) 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;
- (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;
- (3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings;
- (4) Foreign exchange services where these are connected to the provision of investment services;
- (5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments;
- (6) Services related to underwriting;
- (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.

SECTION C

Financial instruments

- (1) Transferable securities;
- (2) Money-market instruments;
- (3) Units in collective investment undertakings;
- (4) Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, emission allowances or other derivatives instruments, financial indices or financial measures which may be settled physically or in cash;
- (5) 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;
- (6) 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 MTF, or an OTF, except for wholesale energy products traded on an OTF that must be physically settled;
- (7) 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;
- (8) Derivative instruments for the transfer of credit risk;
- (9) Financial contracts for differences;
- (10) Options, futures, swaps, forward rate agreements and any 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, OTF, or an MTF;
- (11) Emission allowances consisting of any units recognised for compliance with the requirements of Directive 2003/87/EC (Emissions Trading Scheme).