

Annex Communication FSMA_2019_07_01 of 2/21/2019

Provision or supply of investment services and/or activities in Belgium on a cross-border basis by foreign investment firms. Articles 12 and 14 of the Belgian Law of 25 October 2016

This form should be completed in case of notification and of modification of an existing notification regarding the provision of investment services and/or the exercise of investment activities in Belgium. In the latter case, please complete only the parts of the form which are relevant for the notified changes. **If the changes purport to the investment services and/or activities and/or solicited investors, please list all the investment services and/or activities the firm intends to provide and the investors the firm intends to solicit in the future.**

1 General information

Date of notification	[Date]
Type of notification	New notification / Modification of notification
Home State of the investment firm	
Type of status	<input type="checkbox"/> Non-EEA investment firm <input type="checkbox"/> EEA investment firms exempted from the Directive 2014/65/UE pursuant to article 2, § 1, l) and m) and article 3 of the Directive

2 Details of the investment firm

Name	
Trading name	
Address	
Telephone number	
Email	
Name of the contact person	

Authorization status of the investment firm	
Name and address of authority(ies) granting license or authorization	
Date of authorization	

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									Ancillary services						
A1	A2	A3	A4	A5	A6	A7	A8	A9	B1	B2	B3	B4	B5	B6	B7

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

3.2 Solicited investors

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

<input type="checkbox"/> Eligible counterparties ¹
<input type="checkbox"/> Clients who are classified as professionals “per se” ²
<p>Persons established in Belgium and holding the nationality</p> <p><input type="checkbox"/> of the investment firm’s home State; or</p> <p><input type="checkbox"/> of a State in which the said investment firm has established a branch,</p> <p>provided that as regards the investment services offered in Belgium, the investment firm is subject, in its home State or in the host State of the establishment in question, to supervision that is equivalent to that of Belgian investment firms.</p> <p>If applicable, please specify the host State of the establishment in question:</p>

¹ As defined in Article 3 of the Belgian Royal Decree of 19 December 2017 laying down detailed rules on the implementation of the directive on markets in financial instruments.

² As referred to in Section I of the Annex to the Belgian Royal Decree of 19 December 2017 laying down detailed rules on the implementation of the directive on markets in financial instruments.

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](#).

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.