Register of Investment Firms authorised by the Central Bank of Ireland under Regulation 8 (3) and deemed authorised under Regulation 5 (2) of the Statutory Instrument No. 375/2017 European Union (Markets in Financial Instruments) Regulations 2017

The Register of Investment Firms is maintained under Regulation 6 (a), (b) and (d) of Statutory Instrument No. 375/2017 European Union(Markets in Financial Instruments) Regulations 2017 (the "Regulations") and is a register of Investment Firms authorised under Regulation 8 (3) or deemed authorised under Regulation 5 (2) of the Regulations.

Included in the Register of Investment Firms is the Register of Tied Agents maintained pursuant to Regulation 37 (5) of the Regulations.

The Tied Agent Register includes all tied agents established within the State and all tied agents appointed by investment firms other than tied agents established in the State.

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Acuvest Limited	01 Nov 2007			No	Investment Services	Financial Instruments	United	
67 Merrion Square Dublin 2					1.5. Investment advice	1. Transferable securities	Kingdom (FOS)	
						2. Money-market instruments		
						3. Units in collective investment undertakings		
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						5. Derivatives re: commodities - settled in cash		
						Investment Instruments (IIA)		
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement		
						(i) securities borrowing/lending agreements		
						(j) certs conferring property rights		
						(jj) rolling spot F/X		
						(kk) tracker bond		
						(l) hybrid instruments		
						(m) insurance policies		
						(n) PRSAs		
AerCap Cash Manager II Limited	01 Nov 2007				Investment Services	Financial Instruments		
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.4. Portfolio management	2. Money-market instruments		
					1.5. Investment advice	3. Units in collective investment undertakings		
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						Investment Instruments (IIA)		
						(b) non-transferable securities		
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Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments (1) hybrid instruments (m) insurance policies	Other Jurisdictions	Tied Agents
AGF International Advisors Company Limited 34 Molesworth Street Dublin 2	7 01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (b) non-transferable securities (i) securities borrowing/lending agreements (j) certs conferring property rights (jj) rolling spot F/X (kk) tracker bond 	Luxembourg (FOS) United Kingdom (FOS) Austria (FOS) Belgium (FOS) Belgium (FOS) Denmark (FOS) France (FOS) Germany (FOS) Italy (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Spain (FOS) Syain (FOS)	
AIB Corporate Finance Limited	01 Nov 2007				Investment Services 1.5. Investment advice 1.7. Placing without firm commitment Ancillary Services 2.3. Advice on capital structure 2.6. Services re underwriting	Financial Instruments 1. Transferable securities 2. Money-market instruments	Austria (FOS) Belgium (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	Tied Agents
Alder Capital Designated Activity Company Behan House 10 Mount Street Lower Dublin 2 D02 HT71	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 	France (FOS) United Kingdom (FOS) Netherlands (FOS) United Kingdom (FOE)	
APT Financial Services Limited t/a Allied Pension Trustees Block B First Floor Apex Business Centre Blackthorn Road Sandyford Dublin 18	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings Investment Instruments (IIA) (kk) tracker bond (m) insurance policies (n) PRSAs		
AVA Trade EU Limited	09 Jul 2009				 Investment Services 1.2. Executing client orders 1.3. Dealing on own account Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 	 Financial Instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms - TOTV, phys settled (ex WEPs) 7. Derivs re: commodities - other than in para 6 9. Financial CFDs 	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
		Date	Keason	Money			Jurisdictions Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Latvia (FOS) Latvia (FOS) Lithuania (FOS) Lithuania (FOS) Lithuania (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Norway (FOS) Norway (FOS) Poland (FOS) Norway (FOS) Poland (FOS) Slovakia (FOS) Slovakia (FOS) Slovakia (FOS) Slovakia (FOS) Slovenia (FOS) Sweden (FOS) Sweden (FOS) United Kingdom (FOS)	Agents

Bank of Ireland Private Banking Limited 40 Mespil Road Dublin 4 01 Nov 2007

Investment Services

Yes

1.1. Receiving/Transmitting orders1.4. Portfolio management1.5. Investment advice

Investment Business Services (IIA)

(f) deposit agent/broker

Financial Instruments

 Transferable securities
 Money-market instruments
 Units in collective investment undertakings

4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled

Investment Instruments (IIA)

(b) non-transferable securities
(h) Sale, Repo & reverse repo agreement
(i) securities borrowing/lending agreements
(kk) tracker bond
(l) hybrid instruments
(m) insurance policies
(n) PRSAs

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
BCP Asset Management DAC t/a BCP 71 Upper Leeson Street	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments 1. Transferable securities	United Kingdom (FOS)	
Dublin 4					 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.1. Safekeeping and administration Investment Business Services (IIA) (b) in the service se	 Money-market instruments Units in collective investment undertakings Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (kk) tracker bond 		
					(f) deposit agent/broker(i) manager of a designated investment fund	(m) insurance policies(n) PRSAs		
BCWM plc Marine House Clanwilliam Court Dublin 2	12 Nov 2009			Yes	 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.5. Research and financial analysis 	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings Investment Instruments (IIA) (kk) tracker bond (1) hybrid instruments (m) insurance policies (n) PRSAs		
Blackbee Investments Limited t/a Blackbee Investments 4th Floor 11 Anglesea Street Cork	03 Nov 2014			Yes	 Investment Services 1.2. Executing client orders 1.7. Placing without firm commitment Ancillary Services 2.1. Safekeeping and administration 2.5. Research and financial analysis 	Financial Instruments 1. Transferable securities	United Kingdom (FOS)	
Blackrock Investment Management (Dublin) Limited 1st Floor Ballsbridge Park Ballsbridge Dublin 4	01 Jul 2014			No	Investment Services 1.4. Portfolio management 1.5. Investment advice	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Blackstone / GSO Debt Funds Management Europe Limited 2nd Floor 30 Herbert Street Dublin 2	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice 1.7. Placing without firm commitment Ancillary Services 2.3. Advice on capital structure	 Financial Instruments 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 	Netherlands (FOS) Luxembourg (FOS) United Kingdom (FOS) Spain (FOS) Germany (FOS) France (FOS)	
							Italy (FOS)	
Bloxham 2-3 Exchange Place IFSC Dublin 1	01 Nov 2007			Yes	 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.4. Portfolio management 1.5. Investment advice 1.6. Underwriting or placing on firm commitment 1.7. Placing without firm commitment Ancillary Services 2.1. Safekeeping and administration 2.3. Advice on capital structure 2.4. Foreign exchange services 2.6. Services re underwriting 	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 9. Financial CFDs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (kk) tracker bond	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Campbell O'Connor & Company	29 Aug 2013				 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.5. Investment advice 1.7. Placing without firm commitment 	 Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement 	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
					Ancillary Services 2.1. Safekeeping and administration	(i) securities borrowing/lending agreements	France (FOS)	
					2.4. Foreign exchange services	(j) certs conferring property rights	Germany (FOS)	
					2.6. Services re underwriting	(n) PRSAs	Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Cantor Fitzgerald Ireland Limited	01 Nov 2007			Yes	Investment Services	Financial Instruments	Germany	
75 St Stephen's Green Dublin 2					1.1. Receiving/Transmitting orders	1. Transferable securities	(FOS)	
					1.2. Executing client orders	2. Money-market instruments	United Kingdom (FOS)	
					1.3. Dealing on own account	3. Units in collective investment undertakings	Belgium (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Denmark (FOS)	
					1.5. Investment advice	5. Derivatives re: commodities - settled in cash	France (FOS)	
					1.6. Underwriting or placing on firm commitment	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Italy (FOS)	
					1.7. Placing without firm commitment	9. Financial CFDs	Luxembourg (FOS)	
					Ancillary Services	10. Derivs re: CVs, FRs, IRs, ESs	Netherlands (FOS)	
					2.1. Safekeeping and administration2.4. Foreign exchange services	Investment Instruments (IIA)	Spain (FOS)	
						(h) Sale, Repo & reverse repo agreement		
					2.5. Research and financial analysis	(i) securities borrowing/lending agreements		
					Investment Business Services (IIA)	(j) certs conferring property rights		
					(f) deposit agent/broker			
					(i) manager of a designated investment fund	(kk) tracker bond		
						(l) hybrid instruments		
						(m) insurance policies		
						(n) PRSAs		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Clover Financial & Treasury Services	s 01 Nov 2007			No	Investment Services	Financial Instruments		
Designated Activity Company 24-28 Tara Street					1.5. Investment advice	1. Transferable securities		
Dublin 2					Ancillary Services	2. Money-market instruments		
					2.3. Advice on capital structure			
					2.4. Foreign exchange services	3. Units in collective investment undertakings		
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						5. Derivatives re: commodities - settled in cash		
						Investment Instruments (IIA)		
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement		
						(i) securities borrowing/lending agreements		
						(j) certs conferring property rights		
						(jj) rolling spot F/X (l) hybrid instruments		
						(n) insurance policies		
						(iii) insurance ponetes		
Comgest Asset Management	01 Nov 2007			No	Investment Services	Financial Instruments	Austria (FOS)	
International Limited Sixth Floor					1.1. Receiving/Transmitting orders	1. Transferable securities		
2 Grand Canal Square					1.2. Executing client orders	2. Money-market instruments	Germany (FOS)	
Dublin 2					1.4. Portfolio management	3. Units in collective investment undertakings	United Kingdom (FOS)	
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Netherlands (FOS)	
						5. Derivatives re: commodities - settled in cash	Belgium (FOS)	
						Investment Instruments (IIA)	Luxembourg	
						(h) Sale, Repo & reverse repo agreement	(FOS)	
						(i) securities borrowing/lending agreements	Italy (FOS)	
						(jj) rolling spot F/X	France (FOS)	
Computershare Investor Services	01 Nov 2007			Yes	Investment Services	Financial Instruments	United	
(Ireland) Limited	011107 2007			103	1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom	
Heron House Corrig Road							(FOS)	
Sandyford Industrial Estate					Ancillary Services	2. Money-market instruments		
Dublin 18					(g) Collective Investment Schemes 2.1. Safekeeping and administration	3. Units in collective investment undertakings		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Conexim Advisors Limited	28 Dec 2012			No	Investment Services	Financial Instruments	United	
t/a Wealth Options Broker Platform/ Conexim/Conexim Platform Services	/				1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	
Conexim Advisor Support & Solution	18				1.4. Portfolio management	2. Money-market instruments	Malta (FOS)	
Conexim Advisors Limited 50 City Quay					1.5. Investment advice	3. Units in collective investment undertakings	Gibraltar (FOS)	
Dublin 2					Ancillary Services	4. Derivs re: secs/ccys/IRYs/EAs phys/		
					2.4. Foreign exchange services	cash settled		
					2.5. Research and financial analysis	5. Derivatives re: commodities - settled in cash		
					Investment Business Services (IIA)	6. Derivs re: comms – TOTV, phys settled (ex WEPs)		
					(f) deposit agent/broker			
						9. Financial CFDs		
						10. Derivs re: CVs, FRs, IRs, ESs		
						Investment Instruments (IIA)		
						(kk) tracker bond		
						(m) insurance policies		
						(n) PRSAs		
Coronation Capital Limited	01 Nov 2007			No	Investment Services	Financial Instruments	United	
2nd Floor Europa House					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	
Harcourt Centre					1.2. Executing client orders	2. Money-market instruments		
Harcourt St Dublin 2					1.4. Portfolio management	3. Units in collective investment undertakings		
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						5. Derivatives re: commodities - settled in cash		
						Investment Instruments (IIA)		
						(h) Sale, Repo & reverse repo agreement		
						(i) securities borrowing/lending agreements		
						(j) certs conferring property rights		
						(jj) rolling spot F/X		
						(l) hybrid instruments		
Custom House Capital Limited	01 Nov 2007				Investment Services	Financial Instruments		
Custom House Cuptur Emitted	51 1101 2007				1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.4. Portfolio management	2. Money-market instruments		
					1.5. Investment advice	3. Units in collective investment		
						undertakings		
					Ancillary Services	4. Derivs re: secs/ccys/IRYs/EAs phys/		
					2.1. Safekeeping and administration	cash settled		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services 2.5. Research and financial analysis Investment Business Services (IIA) (f) deposit agent/broker	Financial Instruments 9. Financial CFDs Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (j) certs conferring property rights (jj) rolling spot F/X (kk) tracker bond	Other Jurisdictions	Tied Agents
						(l) hybrid instruments(m) insurance policies(n) PRSAs		
Davy Asset Management Limited	01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
					1.4. Portfolio management	3. Units in collective investment undertakings	Denmark (FOS)	
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
					1.7. Placing without firm commitment	5. Derivatives re: commodities - settled in cash	France (FOS)	
					Ancillary Services 2.1. Safekeeping and administration	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Germany (FOS)	
					2.4. Foreign exchange services	7. Derivs re: commodities – other than in para 6	Greece (FOS)	
					2.5. Research and financial analysis	1	Italy (FOS)	
					2.6. Services re underwriting	9. Financial CFDs	Luxembourg (FOS)	
					2.7. Investment services re certain instruments	10. Derivs re: CVs, FRs, IRs, ESs	Netherlands (FOS)	
					Investment Business Services	Investment Instruments (IIA)	Poland (FOS)	
					(IIA)	(b) non-transferable securities		
					(f) deposit agent/broker			
					(i) manager of a designated investment fund	(h) Sale, Repo & reverse repo agreement	Portugal (FOS)	
						(i) securities borrowing/lending agreements	Spain (FOS)	
						(j) certs conferring property rights	Sweden (FOS)	
						(jj) rolling spot F/X	United Kingdom (FOE)	
						(kk) tracker bond	Bulgaria (FOS)	
						(1) hybrid instruments	Cyprus (FOS)	
						(m) insurance policies	Czech Republic (FOS) Estonia (FOS) Hungary (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Iceland (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Malta (FOS) Norway (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) United Kingdom (FOS) Gibraltar (FOS)	Tied Agents
Davy Corporate Finance	01 Nov 2007				 Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice 1.7. Placing without firm commitment Ancillary Services 2.3. Advice on capital structure 2.5. Research and financial analysis 2.6. Services re underwriting 	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (1) hybrid instruments	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Sweden (FOS) Sweden (FOS) Sweden (FOS) United Kingdom (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Latvia (FOS) Latvia (FOS) Lichtenstein (FOS)	

Davy Fund Managers01 Nov 2007NoInvestment ServicesFinancial InstrumentsAustria (FOS)Davy House 49 Dawson Street Dublin 21.1 Receiving/Transmitting orders1. Transferable securities1.1. Receiving/Transmitting orders1.4. Portfolio management2. Money-market instrumentsBelgium (FOS)1.5. Investment advice3. Units in collective investment undertakingsBulgaria (FOS)4. Derivs re: secs/ccys/IRYs/EAs phys/Cyprus (FOS)cash settledcash settled	Fied Agents		Financial Instruments	siness Services	Client Aoney	Revocation Reason	Revocation Date	Auth Date	Name and Address
Casi undu Cash Republic Cash (POS) Cash (POS) Cash (POS) Investment Instruments (ILA) Dommark (POS) (POS) (POS) (POS) (POS) Finand (POS) (POS) Finand (POS) (POS) Finand (POS) (POS) (POS) (POS) Cash Republic (POS) <		Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Latvia (FOS) Lithuania (FOS) Lithuania (FOS) Lithuania (FOS) Sovema (FOS) Nortway (FOS) Poland (FOS) Nortway (FOS) Poland (FOS) Nortway (FOS) Poland (FOS) Slovakia (FOS) Slovakia (FOS) Slovakia (FOS) Slovakia (FOS) Slovakia (FOS) Spain (FOS) Sweden (FOS) Sweden (FOS) United Kingdom	 Transferable securities Money-market instruments Units in collective investment undertakings Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Derivatives re: commodities - settled in cash Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments 	. Receiving/Transmitting orders . Portfolio management	No			01 Nov 2007	Davy House 49 Dawson Street

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Davy Securities Davy House	01 Nov 2007			No	Investment Services	Financial Instruments		
49 Dawson Street Dublin 2					1.1. Receiving/Transmitting orders	 Transferable securities Money-market instruments Investment Instruments (IIA) (b) Sela, Page & page or pag		
						(h) Sale, Repo & reverse repo agreement		
Deutsche International Corporate	01 Nov 2007			No	Investment Services	Financial Instruments	United	
Services (Ireland) Ltd Pinnacle 2					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	
EastPoint Business Park Dublin 3					1.4. Portfolio management	2. Money-market instruments		
Duomi 5					1.5. Investment advice	 Units in collective investment undertakings 		
					Ancillary Services (g) Collective Investment Schemes	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						5. Derivatives re: commodities - settled in cash		
						Investment Instruments (IIA)		
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement(i) securities borrowing/lending agreements		
						(1) securities borrowing rending agreements(1) hybrid instruments		
Elkstone Private Advisors Limited The Brickhouse	18 Jun 2014			No	Investment Services	Financial Instruments		
Block 1 Clanwilliam Court					1.1. Receiving/Transmitting orders	1. Transferable securities		
Mount Street Lower					1.2. Executing client orders	2. Money-market instruments		
Dublin D02 CF97					1.4. Portfolio management	3. Units in collective investment undertakings		
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
					1.7. Placing without firm commitment	5. Derivatives re: commodities - settled in cash		
					Ancillary Services	6. Derivs re: comms - TOTV, phys settled		
					2.3. Advice on capital structure	(ex WEPs)		
					2.5. Research and financial analysis	7. Derivs re: commodities – other than in para 6		
						8. Derivatives for the transfer of credit risk		
						10. Derivs re: CVs, FRs, IRs, ESs		
						Investment Instruments (IIA)		
						(jj) rolling spot F/X		
						(kk) tracker bond		
						(l) hybrid instruments		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Fitzgerald Brennan Asset Manageme	nt01 Nov 2007			Yes	Investment Services	Financial Instruments	United	
Limited 66 Lower Baggot Street					1.4. Portfolio management	1. Transferable securities	Kingdom (FOS)	
Dublin 2					1.5. Investment adviceAncillary Services2.3. Advice on capital structure	 Money-market instruments Units in collective investment undertakings 	(105)	
					2.5. Research and financial analysis	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						 Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (l) hybrid instruments 		
FTI Finance Limited	01 Nov 2007				Investment Services	Financial Instruments	Sweden (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	United Kingdom (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Austria (FOS)	
					1.5. Investment advice	5. Derivatives re: commodities - settled in cash	Belgium (FOS)	
					Ancillary Services	10. Derivs re: CVs, FRs, IRs, ESs	Bulgaria (FOS)	
					2.3. Advice on capital structure			
					2.4. Foreign exchange services	Investment Instruments (IIA)	Cyprus (FOS)	
					· · · · · · · · · · · · · · · · · · ·	(h) Sale, Repo & reverse repo agreement	~ . ~	
					2.5. Research and financial analysis	(i) securities borrowing/lending agreements(l) hybrid instruments	Czech Republic (FOS) Denmark	
							(FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Iceland (FOS)	Tied Agents
Geneva Ireland Financial Trading Limited La Touche House 2nd Floor Dublin 1 Ireland	03 Jan 2018			No	Investment Services 1.3. Dealing on own account	 Financial Instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms - TOTV, phys settled (ex WEPs) 7. Derivs re: commodities - other than in para 6 	(FOS) Netherlands (FOS)	
Global Shares Execution Services Limited	27 Oct 2015				Investment Services 1.1. Receiving/Transmitting orders Ancillary Services 2.1. Safekeeping and administration	Financial Instruments 1. Transferable securities	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Czech Republic (FOS) France (FOS) United Kingdom (FOS) Gibraltar (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Italy (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovakia (FOS) Slovenia (FOS) Slovenia (FOS) Liechtenstein (FOS) Croatia (FOS) Norway (FOS) Latvia (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Lithuania (FOS) Luxembourg (FOS) Sweden (FOS) Denmark (FOS) Estonia (FOS) Cyprus (FOS) Finland (FOS)	Tied Agents
GlobalReach Securities Limited 38/39 Fitzwilliam Square West	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments 1. Transferable securities	United Kingdom	
Dublin 2							(FOS)	
D02 NX53					1.4. Portfolio management1.5. Investment advice	 Money-market instruments Units in collective investment undertakings 	Austria (FOS) Germany (FOS)	
					Ancillary Services	4. Derivs re: secs/ccys/IRYs/EAs phys/	Italy (FOS)	
					2.4. Foreign exchange services	cash settled		
					2.5. Research and financial analysis	5. Derivatives re: commodities - settled in cash	Luxembourg (FOS)	
					2.7. Investment services re certain instruments	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Malta (FOS)	
					Investment Business Services (IIA)	9. Financial CFDs		
					(f) deposit agent/broker			
						Investment Instruments (IIA)		
						(kk) tracker bond		
						(l) hybrid instruments(m) insurance policies		
						(n) PRSAs		
Goodbody Stockbrokers Unlimited	01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
Company					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
					1.3. Dealing on own account	3. Units in collective investment undertakings	Denmark (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
					1.5. Investment advice	5. Derivatives re: commodities - settled in cash	France (FOS)	
					1.6. Underwriting or placing on firm commitment	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Germany (FOS)	
					1.7. Placing without firm commitment	7. Derivs re: commodities – other than in para 6	Greece (FOS)	
					Ancillary Services		Italy (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments 8. Derivatives for the transfer of credit risk	Other Jurisdictions	Tied Agents
					2.1. Safekeeping and administration2.3. Advice on capital structure	9. Financial CFDs	Netherlands (FOS)	
					2.4. Foreign exchange services2.5. Research and financial analysis	10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA)	Portugal (FOS) Spain (FOS)	
						(h) Sale, Repo & reverse repo agreement		
					2.6. Services re underwriting	(i) securities borrowing/lending agreements	United Kingdom (FOS)	
					2.7. Investment services re certain instruments	(j) certs conferring property rights	Luxembourg (FOS)	
					Investment Business Services (IIA)	(kk) tracker bond	Sweden (FOS)	
					(f) deposit agent/broker			
						(l) hybrid instruments	United Kingdom (FOE)	
						(m) insurance policies	Estonia (FOS)	
						(n) PRSAs		
Guggenheim Partners Europe Limited	d 01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
					1.4. Portfolio management	1. Transferable securities		
					1.5. Investment advice	2. Money-market instruments	Belgium (FOS)	
					1.7. Placing without firm commitment	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Bulgaria (FOS)	
					Ancillary Services 2.3. Advice on capital structure	5. Derivatives re: commodities - settled in cash	Cyprus (FOS)	
						Investment Instruments (IIA) (jj) rolling spot F/X	Czech Republic (FOS)	
							Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Gibraltar (FOS) Gibraltar (FOS) Gibraltar (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Litchtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents		
							Netherlands (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Slovenia (FOS) Sweden (FOS) United Kingdom (FOS) Norway (FOS) Norway (FOE)			
Harvest Financial Services Ltd	01 Nov 2007			Yes	Investment Services	Financial Instruments	United			
Block 3 The Oval					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)			
Shelbourne Road Dublin 4					1.5. Investment advice	2. Money-market instruments	Malta (FOS)			
					Investment Business Services (IIA)	3. Units in collective investment undertakings				
					(f) deposit agent/broker					
						Investment Instruments (IIA)				
						(kk) tracker bond				
						(m) insurance policies				
						(n) PRSAs				
IG International Management Limiter	d 01 Nov 2007			No	Investment Services	Financial Instruments				
Brooklawn House Shelbourne Road					1.1. Receiving/Transmitting orders	1. Transferable securities				
Ballsbridge					1.2. Executing client orders	2. Money-market instruments				
Dublin 4					1.4. Portfolio management	3. Units in collective investment undertakings				
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled				
						Investment Instruments (IIA)				
						(b) non-transferable securities				
						(h) Sale, Repo & reverse repo agreement				
					(i) securities borrowing/lending agreements					
						(j) certs conferring property rights				

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
IIU Asset Strategies Limited	01 Nov 2007			No	Investment Services	Financial Instruments	France (FOS)	
IFSC House					1.1. Receiving/Transmitting orders	1. Transferable securities		
International Financial Services Cent Custom House Quay	re				1.2. Executing client orders	2. Money-market instruments	Germany	
Dublin 1					1.4. Portfolio management	3. Units in collective investment undertakings	(FOS) Luxembourg (FOS)	
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Spain (FOS)	
							United Kingdom (FOS)	
Independent Trustee Company Limit	ed01 Nov 2007			Yes	Investment Services	Financial Instruments		
Harmony Court					1.1. Receiving/Transmitting orders	1. Transferable securities		
Harmony Row Dublin 2					1.5. Investment advice	2. Money-market instruments		
					Investment Business Services (IIA)	3. Units in collective investment undertakings		
					(f) deposit agent/broker(i) manager of a designated investment	4. Derivs re: secs/ccys/IRYs/EAs phys/		
					fund	cash settled Investment Instruments (IIA)		
						(j) certs conferring property rights (kk) tracker bond		
						(l) hybrid instruments		
						(m) insurance policies		
						(n) PRSAs		
Investec Capital & Investments	01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
(Ireland) Limited					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
					1.3. Dealing on own account	3. Units in collective investment undertakings	Denmark (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
					1.5. Investment advice	9. Financial CFDs	France (FOS)	
					1.6. Underwriting or placing on firm	Investment Instruments (IIA)	Germany	
					commitment	(h) Sale, Repo & reverse repo agreement	(FOS)	
					1.7. Placing without firm commitment	(i) securities borrowing/lending agreements	Greece (FOS)	
					Ancillary Services	(j) certs conferring property rights	Italy (FOS)	
					2.1. Safekeeping and administration		NT-41-1-1	
					2.3. Advice on capital structure	(kk) tracker bond	Netherlands (FOS)	
					2.4. Foreign exchange services	(m) insurance policies	Portugal (FOS)	
					2.5. Research and financial analysis	(n) PRSAs	Spain (FOS)	

Name and Address Auth Dat	e Revocation Date	Revocation Reason	Client Money	Business Services 2.6. Services re underwriting	Financial Instruments	Other Jurisdictions Sweden (FOS) United Kingdom (FOS) Luxembourg (FOS)	Tied Agents
Investment Technology Group Limited 01 Nov 200				 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.5. Investment advice 1.8. Operation of multilateral trading facilities Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (1) hybrid instruments 	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) Sweden (FOS) Sweden (FOS) Sweden (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Estonia (FOS) Latvia (FOS) Latvia (FOS) Latvia (FOS) Latvia (FOS) Latvia (FOS) Norway (FOS) Poland (FOS) Slovakia (FOS) Lichtenstein (FOS) Finland (FOE)	OP Asset Management Execution Services (OPAMES) Gebhardinaukio 1 P.O. Box 308 FI-00101 Helsinki

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions France (FOE) United Kingdom (FOE)	Tied Agents
Irish Life Investment Managers Limited Beresford Court Beresford Place Dublin 1	01 Nov 2007			No	 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.3. Advice on capital structure 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 7. Derivs re: commodities – other than in para 6 8. Derivatives for the transfer of credit risk Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments (m) insurance policies 	Denmark (FOS) Italy (FOS)	
Irish Progressive Services International Limited	01 Nov 2007				 Investment Services 1.1. Receiving/Transmitting orders Ancillary Services 2.4. Foreign exchange services 	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (kk) tracker bond	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							Hungary (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Slovakia (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
J & E Davy	01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
					1.3. Dealing on own account	3. Units in collective investment undertakings	Denmark (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
					1.5. Investment advice	5. Derivatives re: commodities - settled in cash	France (FOS)	
					1.6. Underwriting or placing on firm commitment	8. Derivatives for the transfer of credit risk	Germany (FOS)	
					1.7. Placing without firm commitment	9. Financial CFDs	Greece (FOS)	
					Ancillary Services	10. Derivs re: CVs, FRs, IRs, ESs	Italy (FOS)	
					2.1. Safekeeping and administration2.3. Advice on capital structure	Investment Instruments (IIA)	Luxembourg	
					2.5. Advice on capital structure	(b) non-transferable securities	(FOS)	
					2.4. Foreign exchange services	(h) Sale, Repo & reverse repo agreement	Netherlands (FOS)	
					2.5. Research and financial analysis	(i) securities borrowing/lending agreements		
					2.6. Services re underwriting	(j) certs conferring property rights	Spain (FOS)	
					2.7. Investment services re certain instruments	(jj) rolling spot F/X	Sweden (FOS)	
						(kk) tracker bond	United Kingdom (FOS)	
						(l) hybrid instruments	Bulgaria (FOS)	
						(m) insurance policies	Cyprus (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(n) PRSAs	Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Iceland (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Malta (FOS) Norway (FOS) Poland (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) United Kingdom (FOE) Gibraltar (FOS)	
JLT QFM Services Limited Cherrywood Business Park Loughlinstown Co. Dublin	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice Ancillary Services 2.1. Safekeeping and administration Investment Business Services (IIA) (f) deposit agent/broker (i) manager of a designated investment fund	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (b) non-transferable securities (kk) tracker bond (m) insurance policies (n) PRSAs 		
KBI Global Investors (North America Ltd	a) 01 Nov 2007				 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice Investment Business Services (IIA) (f) deposit agent/broker 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements 		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments (j) certs conferring property rights (l) hybrid instruments	Other Jurisdictions	Tied Agents
KBI Global Investors Ltd 3rd Floor 2 Harbourmaster Place IFSC Dublin 1	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice Investment Business Services (IIA) (f) deposit agent/broker	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (kk) tracker bond (l) hybrid instruments	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) France (FOS) Greece (FOS) Italy (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Syain (FOS) Sweden (FOS) United Kingdom (FOS) Liechtenstein (FOS) Norway (FOS) Iceland (FOS) Luxembourg (FOS)	
Kernel Management Partners Limited Rubicon Centre Rossa Avenue Bishopstown Co. Cork	14 Nov 2008			Yes	Investment Services 1.4. Portfolio management Ancillary Services 2.3. Advice on capital structure	Financial Instruments 1. Transferable securities	United Kingdom (FOE)	
Kestrel Capital Limited	19 May 2016				Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice Investment Business Services (IIA) (f) deposit agent/broker	Financial Instruments Transferable securities Units in collective investment undertakings Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA)	United Kingdom (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Other Jurisdictions	Tied Agents
Key Capital Private Limited 4th Floor Huguenot House St Stephen's Green Dublin 2	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (j) certs conferring property rights (m) insurance policies (n) PRSAs 	United Kingdom (FOS) Luxembourg (FOS) Germany (FOS)	
KKR Credit Advisors (Ireland) Unlimited Company t/a KKR Avoca 75 St Stephen's Green Dublin 2	01 Nov 2007			No	 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice 1.7. Placing without firm commitment 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 8. Derivatives for the transfer of credit risk 9. Financial CFDs 	Netherlands (FOS) Luxembourg (FOS) United Kingdom (FOS) United Kingdom (FOE) Denmark (FOS) Germany (FOS)	
Lambay Capital Limited	01 Nov 2007				 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management Ancillary Services 2.4. Foreign exchange services 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms - TOTV, phys settled (ex WEPs) 	United Kingdom (FOS) Finland (FOS) Luxembourg (FOS) Spain (FOS) Iceland (FOS) Netherlands (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Germany (FOS) France (FOS) Denmark (FOS) Norway (FOS) Italy (FOS) Belgium (FOS)	Tied Agents
Lee Overlay Partners Limited t/a Adrian Lee & Partners West Pier Business Campus Dun Laoghaire Co. Dublin	01 Nov 2007			No	 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.4. Foreign exchange services 	Financial Instruments 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (jj) rolling spot F/X (l) hybrid instruments	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Greace (FOS) Italy (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Netherlands (FOS) Sweden (FOS) Sweden (FOS) United Kingdom (FOS) United Kingdom (FOS)	
Londinium Designated Activity Company Pepper Canister House Mount Street Crescent Dublin 2	01 Nov 2007			No	Investment Services 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 9. Financial CFDs Investment Instruments (IIA) (j) certs conferring property rights (jj) rolling spot F/X (l) hybrid instruments 	Italy (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Mediolanum Asset Management Limited 2 Shelbourne Buildings Shelbourne Road Ballsbridge Dublin 4	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash 8. Derivatives for the transfer of credit risk 9. Financial CFDs 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments 	Luxembourg (FOS) Italy (FOS) Spain (FOS)	
Mercer (Ireland) Limited t/a Mercer Charlotte House Charlemont Street Dublin 2	14 May 2009			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (m) insurance policies 	Luxembourg (FOS) Belgium (FOS)	
Mercer Global Investments Europe Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash 	Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
				·		8. Derivatives for the transfer of credit risk	Netherlands (FOS)	8
						9. Financial CFDs	Norway (FOS)	
						10. Derivs re: CVs, FRs, IRs, ESs	Portugal (FOS)	
						Investment Instruments (IIA)	Spain (FOS)	
						(h) Sale, Repo & reverse repo agreement		
						(i) securities borrowing/lending agreements	Sweden (FOS)	
						(jj) rolling spot F/X	Germany (FOE)	
						(kk) tracker bond	Austria (FOS)	
						(l) hybrid instruments	Italy (FOS)	
							Luxembourg (FOS) Malta (FOS) United Kingdom (FOS)	
Merrion Stockbrokers Limited	01 Nov 2007			Yes	Investment Services	Financial Instruments	United	
t/a Merrion Private Second Floor					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	

t/a Merrion Private Second Floor Heritage House 23 St Stephen's Green Dublin 2

1.1. Receiving/Transmitting orders	1. Transferable securities
1.2. Executing client orders	2. Money-market instruments
1.3. Dealing on own account	3. Units in collective investment undertakings
1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs cash settled
1.5. Investment advice	8. Derivatives for the transfer of c
1.6. Underwriting or placing on firm commitment	9. Financial CFDs
1.7. Placing without firm commitment	Investment Instruments (IIA)
	(h) Sale, Repo & reverse repo agr
Ancillary Services	(i) securities borrowing/lending a
2.1. Safekeeping and administration	
2.3. Advice on capital structure	(j) certs conferring property rights
2.4. Foreign exchange services	(kk) tracker bond
2.5. Research and financial analysis	(m) insurance policies
2.6. Services re underwriting	(n) PRSAs
2.7. Investment services re certain instruments	

re: secs/ccys/IRYs/EAs phys/ d ives for the transfer of credit risk al CFDs nt Instruments (IIA)

Repo & reverse repo agreement es borrowing/lending agreements

onferring property rights er bond nce policies

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
ML Capital Asset Management	01 Nov 2007			No	Investment Services	Financial Instruments	Luxembourg	
Limited					1.1. Receiving/Transmitting orders	1. Transferable securities	(FOS)	
23 St. Stephens Green Dublin 2					1.4. Portfolio management	2. Money-market instruments	Austria (FOS)	
D02 AR55					1.5. Investment advice	3. Units in collective investment undertakings	Germany (FOS)	
					Investment Business Services (IIA)	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Italy (FOS)	
					(f) deposit agent/broker			
						5. Derivatives re: commodities - settled in cash	United Kingdom (FOS)	
						6. Derivs re: comms – TOTV, phys settled (ex WEPs)	(105)	
						8. Derivatives for the transfer of credit risk		
						9. Financial CFDs		
						10. Derivs re: CVs, FRs, IRs, ESs		
						Investment Instruments (IIA)		
						(kk) tracker bond		
						(m) insurance policies		
MMPI Limited	01 Nov 2007				Investment Services	Financial Instruments	Belgium (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.5. Investment advice	2. Money-market instruments	United Kingdom (FOS)	
					Ancillary Services	3. Units in collective investment		
					2.4. Foreign exchange services	undertakings		
					2.5. Research and financial analysis	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
					2.7. Investment services re certain instruments	5. Derivatives re: commodities - settled in cash		
					Investment Business Services (IIA)	6. Derivs re: comms – TOTV, phys settled (ex WEPs)		
					(f) deposit agent/broker			
						7. Derivs re: commodities – other than in para 6		
						8. Derivatives for the transfer of credit risk		
						9. Financial CFDs		
						10. Derivs re: CVs, FRs, IRs, ESs		
						Investment Instruments (IIA) (b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement(i) securities borrowing/lending agreements		
						(j) certs conferring property rights		
						(jj) rolling spot F/X		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Other Jurisdictions	Tied Agents
Money Markets International Limited 26 Lower Baggot Street Dublin 2	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders Investment Business Services (IIA) (f) deposit agent/broker	 Financial Instruments 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement 	Denmark (FOS) France (FOS) Germany (FOS) Luxembourg (FOS) Netherlands (FOS) United Kingdom (FOS) Spain (FOS) Spain (FOS)	
MUFG Alternative Fund Services (Ireland) Limited Ormonde House 12-13 Lower Leeson Street Dublin 2	27 Nov 2015			No	Investment Services 1.1. Receiving/Transmitting orders Ancillary Services (g) Collective Investment Schemes	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings		
NAPERTE DESIGNATED ACTIVITY COMPANY Suite 1 The Beacon Court Sandyford Dublin 18	13 Mar 2015			No	Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments1. Transferable securities2. Money-market instruments3. Units in collective investment undertakings		
NBC Global Finance Limited	01 Apr 2015				 Investment Services 1.3. Dealing on own account 1.4. Portfolio management Ancillary Services 2.4. Foreign exchange services 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement 	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS)	

Name and Address	Auth Date	Revocation	Revocation	Client Money	Business Services	Financial Instruments	Other	Tied
		Date	Reason	Money		(i) securities borrowing/lending agreements (jj) rolling spot F/X	Jurisdictions	Agents
New England Asset Management Limited	09 Jul 2009				Investment Services	Financial Instruments	Germany (FOS)	
					1.4. Portfolio management1.5. Investment advice	 Transferable securities Money-market instruments 	United Kingdom (FOS)	
					Ancillary Services 2.5. Research and financial analysis	3. Units in collective investment undertakings	Austria (FOS)	
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Belgium (FOS)	
						5. Derivatives re: commodities - settled in cash	Bulgaria (FOS)	
						6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Cyprus (FOS)	
						7. Derivs re: commodities – other than in para 6	Czech Republic (FOS)	
						8. Derivatives for the transfer of credit risk	Denmark (FOS)	

(FOS) Estonia (FOS)

Greece (FOS)

Finland (FOS)

10. Derivs re: CVs, FRs, IRs, ESs

(h) Sale, Repo & reverse repo agreement

Investment Instruments (IIA)

(l) hybrid instruments

Run Date: 01 February 2018

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions France (FOS) Hungary (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovakia (FOS) Slovenia (FOS)	Tied Agents
							Spain (FOS) Sweden (FOS) United Kingdom (FOE)	
Newcourt Retirement Fund Manager Limited Father Mathew Hall 131 Church Street Dublin 7	s 01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice Investment Business Services (IIA) (f) deposit agent/broker	Financial Instruments1. Transferable securities2. Money-market instruments3. Units in collective investment undertakings		
						Investment Instruments (IIA) (kk) tracker bond (m) insurance policies (n) PRSAs		
Octagon Online Services Limited 8 Cecilia Street Dublin 2	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders	 Financial Instruments 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 		
Oristan Ireland Designated Activity Company Block 4, Harcourt Road Harcourt Centre Suite 502 Dublin 2	01 Nov 2007			No	Investment Services 1.4. Portfolio management	Financial Instruments 1. Transferable securities 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (1) hybrid instruments		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Pershing Securities International	01 Nov 2007			Yes	Investment Services	Financial Instruments	United	
Limited Riverside Two					1.2. Executing client orders	1. Transferable securities	Kingdom (FOS)	
Sir John Rogerson's Quay Grand Canal Dock Dublin 2					Ancillary Services 2.1. Safekeeping and administration	3. Units in collective investment undertakings	()	
D02 KV60					2.4. Foreign exchange services	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA)		
						(h) Sale, Repo & reverse repo agreement(i) securities borrowing/lending agreements(j) certs conferring property rights		
Pilot View Capital Limited 31 Heytesbury Lane	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments 1. Transferable securities	United Kingdom	
Ballsbridge Dublin 4					1.4. Portfolio management1.5. Investment advice	 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (jj) rolling spot F/X (l) hybrid instruments 	(FOS)	
Pioneer Global Investments Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments 1. Transferable securities	Austria (FOS)	
					1.5. Investment advice	3. Units in collective investment undertakings	Belgium (FOS)	
							Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Liechtenstein (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Slovakia (FOS) Slovenia (FOS) Slovenia (FOS) Sweden (FOS) France (FOE) Germany (FOS) United Kingdom (FOE) Bulgaria (FOS) Romania (FOS) Spain (FOS) Denmark (FOE)	
Pioneer Investment Management	01 Nov 2007				Investment Services	Financial Instruments	Austria (FOS)	
Limited					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
					1.4. Portfolio management	3. Units in collective investment undertakings	Denmark (FOS)	
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
						5. Derivatives re: commodities - settled in cash	France (FOS)	
						8. Derivatives for the transfer of credit risk	(FOS)	
						9. Financial CFDs	Greece (FOS)	
						10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA)	Italy (FOS) Luxembourg	
						(b) non-transferable securities	(FOS)	
						(h) Sale, Repo & reverse repo agreement	Netherlands (FOS)	
						(i) securities borrowing/lending agreements		
						(j) certs conferring property rights	Spain (FOS)	
						(l) hybrid instruments	Sweden (FOS)	
							United	
							Kingdom (FOS)	
							(FOS) Cyprus (FOS)	
							Jr ()	

Rubicon Infrastructure Advisors 29 Apr 2014 Investment Services 1.1 Receiving/Transmitting orders 1.1 Transfrable securities 1.2 Transfrable securities 1.1. Beceiving/Transmitting orders 1.5 Investment advice 1.5 Investment advice Belgiaria (POS) 1.1. Pacing without firm committee 1.7 Dacing without firm committee Belgiaria (POS) 1.1. Pacing without firm committee 2.3 Advice on capital structure 2.3 Advice on capital structure 2.3. Advice on capital structure 2.5 Research and financial analysis Stroin (POS) Parmark Fransmitting orders Koron (POS) Parmark Fransmitten Crops (POS) Parmark Fransmitten Parmark PAR PADIBLE Fransmitten Stroin (POS) Parmark Fransmitten Parmark (POS) Fransmitten Fransmitten PAR PADIBLE Fransmitten Fransmitten PAR PADIBLE Fransmitten Parmark (POS) Fransmitten Fransmitten PAR PADIBLE Fransmitten Fransmitten (POS) Fransmitten Fransmitten (POS) Fransmitten Fransmitten	Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Latvia (FOS) Lithuania (FOS) Malta (FOS) Slovakia (FOS) Slovenia (FOS) Slovenia (FOS) Liechtenstein (FOS) Norway (FOS) United Kingdom (FOE) Bulgaria (FOS) Romania (FOS)	Tied Agents
Run Date: 01 February 2018		29 Apr 2014				 1.1. Receiving/Transmitting orders 1.5. Investment advice 1.7. Placing without firm commitment Ancillary Services 2.3. Advice on capital structure 	 Transferable securities Units in collective investment 	Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Italy (FOS) Latvia (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Portugal (FOS) Romania (FOS) Slovakia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	Tied Agents
Setanta Asset Management Limited	01 Nov 2007			No	Investment Services	Financial Instruments	Austria (FOS)	
Beresford Court Beresford Place					1.1. Receiving/Transmitting orders	1. Transferable securities		
Dublin 1					1.4. Portfolio management	2. Money-market instruments	Denmark (FOS)	
						3. Units in collective investment undertakings	Finland (FOS)	
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	France (FOS)	
						5. Derivatives re: commodities - settled in cash	Germany (FOS)	
						Investment Instruments (IIA)	Italy (FOS)	
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement	Luxembourg	
						(i) securities borrowing/lending agreements	(FOS) Netherlands (FOS)	
						(j) certs conferring property rights	Norway (FOS)	
						(jj) rolling spot F/X	Poland (FOS)	
						(kk) tracker bond	Portugal (FOS)	
						(l) hybrid instruments	Spain (FOS)	
							Sweden (FOS) United Kingdom (FOS)	
Squared Financial Services Limited	01 Nov 2007				Investment Services	Financial Instruments	Belgium (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.5. Investment advice	2. Money-market instruments	Cyprus (FOS)	
						3. Units in collective investment undertakings	Denmark (FOS)	
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	France (FOS)	
						5. Derivatives re: commodities - settled in cash	Germany (FOS)	
						9. Financial CFDs	Greece (FOS)	
						Investment Instruments (IIA)	Italy (FOS)	
						(j) certs conferring property rights		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(jj) rolling spot F/X	Luxembourg	
						(1) hybrid instruments	(FOS) Netherlands (FOS) Poland (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
State Street Global Advisors Ireland	01 Nov 2007			No	Investment Services	Financial Instruments	Austria (FOS)	
Limited					1.1. Receiving/Transmitting orders	1. Transferable securities		
State Street Global Advisors Limited 78 Sir John Rogerson's Quay					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
Dublin 2					1.4. Portfolio management	3. Units in collective investment undertakings	Denmark (FOS)	
					1.5. Investment advice	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Finland (FOS)	
					Ancillary Services	5. Derivatives re: commodities - settled in	France (FOS)	
					2.4. Foreign exchange services	cash		
					2.6. Services re underwriting	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	Germany (FOS)	
					2.7. Investment services re certain instruments	7. Derivs re: commodities – other than in para 6	Greece (FOS)	
					Investment Business Services (IIA)	8. Derivatives for the transfer of credit risk	Italy (FOS)	
					(f) deposit agent/broker			
						9. Financial CFDs	Luxembourg (FOS)	
						10. Derivs re: CVs, FRs, IRs, ESs	Netherlands (FOS)	
						Investment Instruments (IIA)	Portugal (FOS)	
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement	Spain (FOS)	
						(i) securities borrowing/lending agreements	Sweden (FOS)	
						(j) certs conferring property rights	United Kingdom (FOS)	
						(kk) tracker bond	France (FOE)	
						(l) hybrid instruments		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Susquehanna International Securities	01 Nov 2007			No	Investment Services	Financial Instruments	Austria (FOS)	
Limited					1.1. Receiving/Transmitting orders	1. Transferable securities		
t/a SIG Susquehanna International Centre Memorial Road					1.2. Executing client orders	3. Units in collective investment undertakings	Belgium (FOS)	
IFSC Dublin 1					1.3. Dealing on own account	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Denmark (FOS)	
					1.4. Portfolio management	5. Derivatives re: commodities - settled in cash	Finland (FOS)	
					1.5. Investment advice	6. Derivs re: comms – TOTV, phys settled (ex WEPs)	France (FOS)	
					1.7. Placing without firm commitment	7. Derivs re: commodities – other than in para 6	Germany (FOS)	
					Ancillary Services	Investment Instruments (IIA)	Italy (FOS)	
					2.4. Foreign exchange services	(h) Sale, Repo & reverse repo agreement		
					2.5. Research and financial analysis	(i) securities borrowing/lending agreements	Luxembourg (FOS)	
					2.6. Services re underwriting	(j) certs conferring property rights	Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS) Iceland (FOS) Iceland (FOS) Hungary (FOS) Lithuania (FOS) Estonia (FOS) Croatia (FOS) Croatia (FOS) Croatia (FOS) Czech Republic (FOS) Gibraltar (FOS) Gibraltar (FOS) Greece (FOS) Latvia (FOS) Latvia (FOS) Nalta (FOS) Poland (FOS) Slovania (FOS) Slovenia (FOS) United Kingdom (FOE)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
TD Global Finance Unlimited	01 Nov 2007			No	Investment Services	Financial Instruments	Austria (FOS)	
Company					1.1. Receiving/Transmitting orders	1. Transferable securities		
Suite 201 Fitzwilliam Hall					1.2. Executing client orders	2. Money-market instruments	Belgium (FOS)	
Fitzwilliam Place Dublin 2					1.3. Dealing on own account	3. Units in collective investment undertakings	Cyprus (FOS)	
					1.4. Portfolio management	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Czech Republic (FOS)	
					1.5. Investment advice	5. Derivatives re: commodities - settled in cash	Denmark (FOS)	
						Investment Instruments (IIA)	Estonia (FOS)	
						(b) non-transferable securities		
						(h) Sale, Repo & reverse repo agreement	Finland (FOS)	
						(i) securities borrowing/lending agreements	France (FOS)	
						(j) certs conferring property rights	Germany (FOS)	
						(jj) rolling spot F/X	Greece (FOS)	
						(kk) tracker bond	Hungary (FOS)	
						(l) hybrid instruments	Italy (FOS)	
							Latvia (FOS) Lithuania (FOS) Luxembourg	
							(FOS) Malta (FOS)	
							Netherlands (FOS)	
							Poland (FOS) Slovakia (FOS)	
							Slovenia (FOS)	
							Spain (FOS) Sweden (FOS)	
							United	
							Kingdom	
							(FOS)	
Techinvest Limited	01 Nov 2007			No	Investment Services	Financial Instruments	United	
Unit 8 First Floor					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	
Merchants House					1.4. Portfolio management	2. Money-market instruments		
27/ 30 Merchants Quay Dublin 8					1.5. Investment advice	3. Units in collective investment undertakings		
						4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled		
						Investment Instruments (IIA)		
						(h) Sale, Repo & reverse repo agreement		
						(i) securities borrowing/lending agreements		
						(j) certs conferring property rights		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Tilman Brewin Dolphin Limited	01 Nov 2007			Yes	Investment Services	Financial Instruments	United	
3 Richview Office Park Clonskeagh					1.1. Receiving/Transmitting orders	1. Transferable securities	Kingdom (FOS)	
Dublin 14					1.4. Portfolio management	2. Money-market instruments	Belgium (FOS)	
					1.5. Investment advice	3. Units in collective investment undertakings	France (FOS)	
					1.7. Placing without firm commitment	Investment Instruments (IIA) (j) certs conferring property rights	Germany (FOS)	
					Ancillary Services	(m) insurance policies	Italy (FOS)	
					2.1. Safekeeping and administration			
					Investment Business Services (IIA)	(n) PRSAs	Malta (FOS)	
					(f) deposit agent/broker			
							Netherlands (FOS)	
							Portugal (FOS)	
							Spain (FOS)	
Venture Capital Investment	08 Mar 2010			No	Investment Services	Financial Instruments		
Management Limited Teagasc Building Dublin Road Dundalk					1.1. Receiving/Transmitting orders1.5. Investment advice	1. Transferable securities		
Co. Louth								
Virtu Financial Ireland Limited	01 Aug 2012				Investment Services	Financial Instruments	Italy (FOS)	
					1.1. Receiving/Transmitting orders	1. Transferable securities		
					1.2. Executing client orders	3. Units in collective investment undertakings	Germany (FOS)	
					1.3. Dealing on own account	4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled	Portugal (FOS)	
					Ancillary Services	5. Derivatives re: commodities - settled in	France (FOS)	
					2.4. Foreign exchange services	cash 6. Derivs re: comms – TOTV, phys settled	Belgium (FOS)	
						(ex WEPs)	Deigium (105)	
						9. Financial CFDs	United	
							Kingdom (FOS)	
							Netherlands	
							(FOS) Spain (FOS)	
							Denmark	
							(FOS) Finland (FOS)	
							Hungary (FOS)	
							Norway (FOS) Sweden (FOS)	
							Iceland (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions Luxembourg (FOS) Austria (FOS) Greece (FOS) Czech Republic (FOS) Poland (FOS) United Kingdom (FOE)	Tied Agents
Virtu Financial Transaction Services Limited Whitaker Court 3rd Floor Block C 28-29 Sir John Rogerson's Quay Dublin 2	: 15 Mar 2017			No	Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings		
W & W Advisory Dublin Designated Activity Company 34 Molesworth Street Dublin 2	1 01 Nov 2007			No	 Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice 	 Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled 5. Derivatives re: commodities - settled in cash Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (l) hybrid instruments 	Germany (FOS) United Kingdom (FOS)	
Wealth Options Limited	13 Oct 2008				 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.4. Foreign exchange services Investment Business Services (IIA) (f) deposit agent/broker 	 Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (kk) tracker bond (m) insurance policies 		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments (n) PRSAs	Other Jurisdictions	Tied Agents
Wellesley Investments and Pensions Limited 4 Michael Street Limerick	20 Oct 2016			No	 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.3. Advice on capital structure 2.4. Foreign exchange services 2.5. Research and financial analysis Investment Business Services (IIA) (f) deposit agent/broker 	 Financial Instruments Transferable securities Money-market instruments Units in collective investment undertakings Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Derivatives re: commodities - settled in cash Derivatives re: commodities - settled in cash Derivatives re: comms – TOTV, phys settled (ex WEPs) Perivatives for the transfer of credit risk Pinancial CFDs Investment Instruments (IIA) non-transferable securities Sale, Repo & reverse repo agreement certs conferring property rights for racker bond hybrid instruments m) insurance policies PRSAs 	United Kingdom (FOS) Malta (FOS)	
Willis Human Capital & Benefits Ireland Limited t/a Willis HC&B Ireland Elm Park Merrion Road Dublin 4	01 Nov 2007			Yes	 Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.1. Safekeeping and administration Investment Business Services (IIA) (f) deposit agent/broker 	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/ cash settled Investment Instruments (IIA) (kk) tracker bond (m) insurance policies (n) PRSAs		

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Client Business Services Money **Financial Instruments**

Definition of Investment Firm:

Paragraph (1)

"investment firm" means any person whose regular occupation or business is the provision of one or more investment services to third parties or the performance of one or more investment activities on a professional basis or both but does not include a natural person unless -

(a) his or her legal status ensures a level of protection for third parties' interests equivalent to that afforded by legal persons,

(b) he or she is subject to equivalent prudential supervision appropriate to his or her legal status, and

(c) if paragraph (2) is applicable, he or she ensures that the conditions set out in that paragraph are fulfilled;

Paragraph (2)

For the purposes of the definition of "investment firm" in paragraph (1), where a natural person provides services involving the holding of third parties' funds or transferable securities, the natural person may be considered as an investment firm for the purposes of these Regulations and of Regulation (EU) No 600/2014 only if, without prejudice to the other requirements imposed by these Regulations, by Regulation (EU) No 600/2014 and by Directive 2013/36/EU, he or she ensures that the following conditions are fulfilled:

(a) the ownership rights of third parties in instruments and funds must be safeguarded, especially in the event of the insolvency of the investment firm or of its proprietors, seizure, set-off or any other action by creditors of the firm or of its proprietors;

(b) the investment firm must be subject to rules designed to monitor the firm's solvency and that of its proprietors;

(c) the investment firm's annual accounts must be audited by one or more persons empowered, under the law of the State or another Member State, to audit accounts;

(d) where the investment firm has only one proprietor, he or she must make provision for the protection of investors in the event of the investment firm's cessation of business following his or her death incapacity or any other such event.

Definition of Tied Agents:

"tied agent" means a person appointed under Regulation 37 as a tied agent by an investment firm. An investment firm may appoint persons as tied agents for the purpose of -

(a) promoting the services of the investment firm,

(b) soliciting business or receiving orders from clients or potential clients and transmitting them,

(c) placing financial instruments, or

(d) providing advice to clients, in respect of -

(i) financial instruments, and

(ii)services offered by the investment firm.

An investment firm that appoints a tied agent -

(a) remains fully and unconditionally responsible for any act or omission on the part of the tied agent when acting on behalf of the investment firm and

(b) shall ensure that the tied agent discloses-

(i) the capacity in which the tied agent is acting, and

(ii)the investment firm which the tied agent is representing,

when contacting, or before dealing with, any client or potential client.

Other Jurisdictions:

Investment Firms may, subject to notification requirements set out in Article 34 of Directive 2014/65/EU and Regulation 44 of the Regulations, provide investment services and activities in other Member States. The Member States listed under Other Jurisdictions are those where the investment firm may provide services which may provide services on either a freedom of services (FOS) or freedom of establishment basis (FOE).

Part 1 - Investment services and activities:

1.1. Reception and transmission of orders in relation to one or more financial instruments.

1.2. Execution of orders on behalf of clients.

1.3. Dealing on own account.

1.4. Portfolio management.

1.5. Investment advice.

Name	and	Address	
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1.6. Underwriting of financial instruments or placing of financial instruments on a firm commitment basis (or both).

1.7. Placing of financial instruments without a firm commitment basis.

1.8. Operation of an MTF.

1.9. Operation of an OTF.

Part 2 - Ancillary Services:

2.1. 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.

Business Services

2.2. Granting credits or loans to an investor to allow him or her to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction.

2.3. Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings.

2.4. Foreign exchange services where these are connected to the provision of investment services.

2.5. Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments.

2.6. Services related to underwriting.

2.7. Investment services and activities as well as ancillary services of the type included under Part 1 or this Part related to the underlying of the derivatives included under paragraph 5, 6, 7 or 10 of Part 3 where these are connected to the provision of investment or ancillary services.

the administration of collective investment schemes, including the performance of valuation services or fund accounting services or acting as transfer agents or registration agents for such funds;

Part 3 - 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 paragraph 6 of this Part 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).

Investment Instruments (IIA):

Some of the investment firms authorised under Regulation 8 (3) and deemed authorised under Regulation 5 (2) of the Regulations continue to provide [local] services and instruments pursuant to the Investment Instrument Act, 1995 (as amended), (the "IIA"). Please note the IIA transposed the provisions of the Investment Service Directive into Irish Law.

Investment Business Services (IIA):

(f) acting as a deposit agant or deposit broker

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Financial Instruments

(i) acting as manager of a designated investment fund within the meaning of the Designated Investment Funds Act, 1995.

Full wording of Investment Instruments (IIA):

(b) non-transferable securities creating or acknowledging indebtedness issued by or on behalf of a government, local authority or public authority

(h) sale and repurchase and reverse repurchase agreements involving transferable securities

(i) agreements for the borrowing and lending of transferable securities

(j) certificates or other instruments which confer all or any of the following rights:(i) property rights in respect of any investment instrument referred to in paragraph (a) of the definition of investment instrument set out in the Investment Intermediaries Act, 1995(ii) any right to acquire, dispose of, underwrite or convert an investment instrument, being a right to which the holder would be entitled if he held any such investment to which the certificate or instrument relates, or(iii) a contractual right (other than an option) to acquire any such investment instrument otherwise than by subscription.
 (ji) a rolling spot forward exchange contract

(kk) a tracker bond or similar instrument

(l) hybrid instruments involving two or more investment instruments

(m) insurance policies

(n) Personal Retirement Savings Accounts within the meaning of Part X of the Pensions Act, 1990

Revocation Reason Regulations:

Withdrawal of authorisation by Bank

Reg 13 (1) The Bank may withdraw an authorisation of an investment firm if the investment firm -

(a) fails to operate as an investment firm during the 12 month period after the date of the authorisation,

(b) has not provided investment services or performed investment activities for the immediately preceding 6 months unless the Bank has provided for the authorisation to lapse in such cases,

(c) expressly renounces the authorisation,

(d) obtained the authorisation by making false statements or by any other irregular means,

(e) no longer meets the conditions under which the authorisation was granted or the conditions of authorisation listed in Regulation (EU) No 575/2013,

(f) is being wound up, or

(g) has contravened any provision of these Regulations or Regulation (EU) No 600/2014 that governs the operation of investment firms and the contravention or contraventions is or are, in the opinion of the Bank, of a serious and systematic nature.

(2) Where the Bank has withdrawn an authorisation in accordance with paragraph

Revocation of authorisation by Court

Reg 14 (1) Without prejudice to the power of the Bank to withdraw an authorisation under Regulation 13(1), the Bank may apply to the Court in a summary manner for an order revoking an authorisation that has been granted to an investment firm if the revocation is expedient -

(a) in the interests of the proper and orderly regulation and supervision of investment firms,

(b) in order to protect investors, or

(c) in one or more of the circumstances described in paragraph (2), and on the making of such an application the Court may grant such an order accordingly.

(2) The circumstances referred to in paragraph (1) are as follows:

(a) the investment firm has been convicted on indictment of any offence - [375] 37

(i) under these Regulations,

(ii) under any enactment under which the Bank performs functions,

or

(iii) involving fraud, dishonesty or breach of trust;

(b) circumstances have materially changed since the granting of the authorisation such that, if an application for the authorisation were made at the time of the application to the Court, a different decision would be taken in relation to the application for authorisation;

(c) the authorisation was obtained by a person knowingly or recklessly -

(i) making false or misleading statements, or

(ii) using false or misleading information;

(d) the investment firm has systematically failed to comply, or failed to comply to a material degree, with a condition provided in, or a requirement of, these Regulations or Regulation (EU) No 600/2014;

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(e) the investment firm no longer fulfils any or all of the conditions or requirements which were-

(i) imposed when the authorisation was granted, or

(ii) subsequently imposed;

(f) the investment firm -

(i) no longer complies with capital or any other financial requirements specified by the Bank, or

(ii) is not maintaining, or is unlikely to be able to maintain, having regard to the nature and volume of the firm's business adequate capital resources or adequate other resources;

(g) the investment firm becomes unable or, in the opinion of the Bank, is likely to become unable, to meet its obligations to its creditors or suspends payments lawfully due;

(h) the investment firm has infringed to a material degree a code of conduct or rules of conduct or regulations issued under the Central Bank Acts 1942 to 2015;

(i) a director, manager or qualifying shareholder of the investment firm no longer satisfies the Bank as to the matters specified in Regulation 9(1)(c) and (4);

(j) the investment firm -

(i) has not complied with a condition, requirement or direction imposed by or under these Regulations or Regulation (EU) No 600/2014, and

(ii) the circumstances are such that the Bank is of the opinion that the stability and soundness of the firm is or has been materially affected by the non-compliance;

(k) the investment firm has so organised its business or corporate structure that-

(i) the firm, and

(ii) where appropriate, any related undertaking or associated undertaking, either collectively or individually, is no longer capable of being supervised to the satisfaction of the Bank under these Regulations or Regulation (EU) No 600/2014.