

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 67 Merrion Square Dublin 2	01 Nov 2007			No	Investment Services 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) (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	United Kingdom (FOS)	
AerCap Cash Manager II 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 Investment Instruments (IIA) (b) non-transferable securities		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(l) hybrid instruments (m) insurance policies		
AGF International Advisors Company Limited 34 Molesworth 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	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) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Italy (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Spain (FOS) Sweden (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	Tied Agents
							Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
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
							Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	

Bank of Ireland Private Banking Limited
40 Mespil Road
Dublin 4

01 Nov 2007

Yes

Investment Services

- 1.1. Receiving/Transmitting 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
- (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 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 (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) (kk) tracker bond (m) insurance policies (n) PRSAs	United Kingdom (FOS)	
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 (l) 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 2.4. Foreign exchange services 2.6. Services re underwriting	(i) securities borrowing/lending agreements (j) certs conferring property rights (n) PRSAs	France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Cantor Fitzgerald Ireland Limited 75 St Stephen's Green Dublin 2	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 2.4. Foreign exchange services 2.5. Research and financial analysis 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 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 9. Financial CFDs 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Germany (FOS) United Kingdom (FOS) Belgium (FOS) Denmark (FOS) France (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Spain (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Clover Financial & Treasury Services Designated Activity Company 24-28 Tara Street Dublin 2	01 Nov 2007			No	Investment Services 1.5. Investment advice Ancillary Services 2.3. Advice on capital structure 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 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 (m) insurance policies		
Comgest Asset Management International Limited Sixth Floor 2 Grand Canal Square 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	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 (jj) rolling spot F/X	Austria (FOS) Germany (FOS) United Kingdom (FOS) Netherlands (FOS) Belgium (FOS) Luxembourg (FOS) Italy (FOS) France (FOS)	
Computershare Investor Services (Ireland) Limited Heron House Corrig Road Sandyford Industrial Estate Dublin 18	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders Ancillary Services (g) Collective Investment Schemes 2.1. Safekeeping and administration	Financial Instruments 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings		United Kingdom (FOS)

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Conexim Advisors Limited t/a Wealth Options Broker Platform/ Conexim/Conexim Platform Services/ Conexim Advisor Support & Solutions Conexim Advisors Limited 50 City Quay Dublin 2	28 Dec 2012			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 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 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 9. Financial CFDs 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (kk) tracker bond (m) insurance policies (n) PRSAs	United Kingdom (FOS) Malta (FOS) Gibraltar (FOS)	
Coronation Capital Limited 2nd Floor Europa House Harcourt Centre Harcourt St 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	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 (jj) rolling spot F/X (l) hybrid instruments	United Kingdom (FOS)	
Custom House Capital Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.1. Safekeeping and administration	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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
					2.5. Research and financial analysis Investment Business Services (IIA) (f) deposit agent/broker	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 (l) hybrid instruments (m) insurance policies (n) PRSAs		
Davy Asset Management Limited	01 Nov 2007				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 2.1. Safekeeping and administration 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting 2.7. Investment services re certain instruments 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 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 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 (m) insurance policies	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOE) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Estonia (FOS) Hungary (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							Iceland (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Malta (FOS) Norway (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) United Kingdom (FOS) Gibraltar (FOS)	
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) (I) 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) United Kingdom (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Iceland (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Davy Fund Managers Davy House 49 Dawson Street 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 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	Malta (FOS) Norway (FOS) Poland (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Austria (FOS) 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) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Davy Securities Davy House 49 Dawson Street Dublin 2	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders	Financial Instruments 1. Transferable securities 2. Money-market instruments Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement		
Deutsche International Corporate Services (Ireland) Ltd Pinnacle 2 EastPoint Business Park Dublin 3	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services (g) Collective Investment Schemes	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) (b) non-transferable securities (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (l) hybrid instruments	United Kingdom (FOS)	
Elkstone Private Advisors Limited The Brickhouse Block 1 Clanwilliam Court Mount Street Lower Dublin D02 CF97	18 Jun 2014			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 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 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 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 Management Limited 66 Lower Baggot Street Dublin 2	01 Nov 2007			Yes	Investment Services 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.3. Advice on capital structure 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) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (l) hybrid instruments	United Kingdom (FOS)	
FTI Finance Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client 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	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 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (l) hybrid instruments	Sweden (FOS) United Kingdom (FOS) Austria (FOS) Belgium (FOS) Bulgaria (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) 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	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	Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Iceland (FOS) France (FOS) United Kingdom (FOS) Germany (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) Slovenia (FOS) Spain (FOS) Iceland (FOS) Malta (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	Tied Agents
							Lithuania (FOS) Luxembourg (FOS) Sweden (FOS) Denmark (FOS) Estonia (FOS) Cyprus (FOS) Finland (FOS)	
GlobalReach Securities Limited 38/39 Fitzwilliam Square West Dublin 2 D02 NX53	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 2.7. Investment services re certain instruments 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 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms – TOTV, phys settled (ex WEPS) 9. Financial CFDs Investment Instruments (IIA) (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	United Kingdom (FOS) Austria (FOS) Germany (FOS) Italy (FOS) Luxembourg (FOS) Malta (FOS)	
Goodbody Stockbrokers Unlimited Company	01 Nov 2007				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	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 6. Derivs re: comms – TOTV, phys settled (ex WEPS) 7. Derivs re: commodities – other than in para 6	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
					2.1. Safekeeping and administration 2.3. Advice on capital structure 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting 2.7. Investment services re certain instruments Investment Business Services (IIA) (f) deposit agent/broker	8. Derivatives for the transfer of credit risk 9. Financial CFDs 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Netherlands (FOS) Portugal (FOS) Spain (FOS) United Kingdom (FOS) Luxembourg (FOS) Sweden (FOS) United Kingdom (FOE) Estonia (FOS)	
Guggenheim Partners Europe Limited	01 Nov 2007				Investment Services 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 5. Derivatives re: commodities - settled in cash Investment Instruments (IIA) (jj) rolling spot F/X	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Gibraltar (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Liechtenstein (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
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Netherlands (FOS)
 Poland (FOS)
 Portugal (FOS)
 Romania (FOS)
 Slovakia (FOS)
 Slovenia (FOS)
 Spain (FOS)
 Sweden (FOS)
 United Kingdom (FOS)
 Norway (FOS)
 Norway (FOE)

Harvest Financial Services Ltd
 Block 3
 The Oval
 Shelbourne Road
 Dublin 4

01 Nov 2007

Yes

Investment Services
 1.1. Receiving/Transmitting orders
 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

Investment Instruments (IIA)
 (kk) tracker bond
 (m) insurance policies
 (n) PRSAs

United Kingdom (FOS)
 Malta (FOS)

IG International Management Limited
 Brooklawn House
 Shelbourne Road
 Ballsbridge
 Dublin 4

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
 (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 IFSC House International Financial Services Centre Custom House Quay 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	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) Germany (FOS) Luxembourg (FOS) Spain (FOS) United Kingdom (FOS)	
Independent Trustee Company Limited Harmony Court Harmony Row Dublin 2	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice 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) (j) certs conferring property rights (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs		
Investec Capital & Investments (Ireland) Limited	01 Nov 2007				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 2.5. 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 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 (m) insurance policies (n) PRSAs	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
					2.6. Services re underwriting		Sweden (FOS) United Kingdom (FOS) Luxembourg (FOS)	
Investment Technology Group Limited	01 Nov 2007				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) (I) 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) United Kingdom (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Iceland (FOS) Latvia (FOS) Lithuania (FOS) Malta (FOS) Norway (FOS) Poland (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Liechtenstein (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	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	France (FOE) United Kingdom (FOE) Germany (FOS) Sweden (FOS) United Kingdom (FOS) France (FOS) Portugal (FOS) Austria (FOS) Denmark (FOS) Italy (FOS) Luxembourg (FOS) Spain (FOS) Norway (FOS) Netherlands (FOS) Belgium (FOS) Greece (FOS) Poland (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) 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) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
J & E Davy	01 Nov 2007				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 2.5. Research and financial analysis 2.6. Services re underwriting 2.7. Investment services re certain instruments	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 (m) insurance policies	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) Bulgaria (FOS) 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	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	Other Jurisdictions	Tied Agents
						(j) certs conferring property rights (l) hybrid instruments		
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) Germany (FOS) Greece (FOS) Italy (FOS) Netherlands (FOS) Portugal (FOS) Spain (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 1. Transferable securities 3. Units in collective investment undertakings 10. 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	Other Jurisdictions	Tied Agents
						(kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs		
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	Tied Agents
							Germany (FOS) France (FOS) Denmark (FOS) Norway (FOS) Italy (FOS) Belgium (FOS)	
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) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS) United Kingdom (FOE)	
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
Merrion Stockbrokers Limited t/a Merrion Private Second Floor Heritage House 23 St Stephen's Green Dublin 2	01 Nov 2007			Yes	Investment Services	Financial Instruments	United Kingdom (FOS)	
					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	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 Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights (kk) tracker bond (m) insurance policies (n) PRSAs	Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) Germany (FOE) Austria (FOS) Italy (FOS) Luxembourg (FOS) Malta (FOS) United Kingdom (FOS)	
					Ancillary Services			
					2.1. Safekeeping and administration 2.3. Advice on capital structure 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting 2.7. Investment services re certain instruments			

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
ML Capital Asset Management Limited 23 St. Stephens Green Dublin 2 D02 AR55	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting 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 5. Derivatives re: commodities - settled in cash 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 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	Luxembourg (FOS) Austria (FOS) Germany (FOS) Italy (FOS) United Kingdom (FOS)	
MMPI Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 2.7. Investment services re certain instruments 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 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 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	Belgium (FOS) United Kingdom (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs		
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) Sweden (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 Instruments 1. Transferable securities 2. Money-market instruments 3. 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 Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(i) securities borrowing/lending agreements (jj) rolling spot F/X	Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Malta (FOS) Poland (FOS) Greece (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
New England Asset Management Limited	09 Jul 2009				Investment Services 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 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 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (l) hybrid instruments	Germany (FOS) United Kingdom (FOS) Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Greece (FOS) Finland (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							France (FOS) Hungary (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOE)	
Newcourt Retirement Fund Managers Limited Father Mathew Hall 131 Church Street Dublin 7	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 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 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) (l) hybrid instruments		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Pershing Securities International Limited Riverside Two Sir John Rogerson's Quay Grand Canal Dock Dublin 2 D02 KV60	01 Nov 2007			Yes	Investment Services 1.2. Executing client orders Ancillary Services 2.1. Safekeeping and administration 2.4. Foreign exchange services	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 (i) securities borrowing/lending agreements (j) certs conferring property rights	United Kingdom (FOS)	
Pilot View Capital Limited 31 Heytesbury Lane 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 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	United Kingdom (FOS)	
Pioneer Global Investments Limited	01 Nov 2007				Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings	Austria (FOS) 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) Spain (FOS) Sweden (FOS) France (FOE) Germany (FOS) United Kingdom (FOE) Bulgaria (FOS) Romania (FOS) Spain (FOE) Denmark (FOE)	
Pioneer Investment Management Limited	01 Nov 2007				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 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 (l) 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) United Kingdom (FOS) Cyprus (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							Czech Republic (FOS) Estonia (FOS) Hungary (FOS) Latvia (FOS) Lithuania (FOS) Malta (FOS) Poland (FOS) Slovakia (FOS) Slovenia (FOS) Iceland (FOS) Liechtenstein (FOS) Norway (FOS) United Kingdom (FOE) Bulgaria (FOS) Romania (FOS)	
Rubicon Infrastructure Advisors	29 Apr 2014				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	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings	Austria (FOS) 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) Iceland (FOS) Italy (FOS) Latvia (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
							Portugal (FOS) Romania (FOS) Slovakia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Setanta Asset Management Limited Beresford Court Beresford Place Dublin 1	01 Nov 2007			No	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management	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) (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	Austria (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Squared Financial Services Limited	01 Nov 2007				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 5. Derivatives re: commodities - settled in cash 9. Financial CFDs Investment Instruments (IIA) (j) certs conferring property rights	Belgium (FOS) Cyprus (FOS) Denmark (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
						(jj) rolling spot F/X (l) hybrid instruments	Luxembourg (FOS) Netherlands (FOS) Poland (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
State Street Global Advisors Ireland Limited State Street Global Advisors Limited 78 Sir John Rogerson's Quay 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 Ancillary Services 2.4. Foreign exchange services 2.6. Services re underwriting 2.7. Investment services re certain instruments 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 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 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 (kk) tracker bond (l) 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) United Kingdom (FOS) France (FOE)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Susquehanna International Securities Limited t/a SIG Susquehanna International Centre Memorial Road IFSC Dublin 1	01 Nov 2007			No	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 1.7. Placing without firm commitment Ancillary Services 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings 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 Investment Instruments (IIA) (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (j) certs conferring property rights	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS) Iceland (FOS) Hungary (FOS) Lithuania (FOS) Estonia (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Gibraltar (FOS) Greece (FOS) Latvia (FOS) Liechtenstein (FOS) Malta (FOS) Poland (FOS) Romania (FOS) Slovakia (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 Company Suite 201 Fitzwilliam Hall Fitzwilliam Place Dublin 2	01 Nov 2007			No	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	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) (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	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) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS) United Kingdom (FOS)	
Techinvest Limited Unit 8 First Floor Merchants House 27/ 30 Merchants Quay Dublin 8	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 (i) securities borrowing/lending agreements (j) certs conferring property rights	United Kingdom (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Tilman Brewin Dolphin Limited 3 Richview Office Park Clonskeagh Dublin 14	01 Nov 2007			Yes	Investment Services 1.1. Receiving/Transmitting orders 1.4. Portfolio management 1.5. Investment advice 1.7. Placing without firm commitment 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 Investment Instruments (IIA) (j) certs conferring property rights (m) insurance policies (n) PRSAs	United Kingdom (FOS) Belgium (FOS) France (FOS) Germany (FOS) Italy (FOS) Malta (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS)	
Venture Capital Investment Management Limited Teagasc Building Dublin Road Dundalk Co. Louth	08 Mar 2010			No	Investment Services 1.1. Receiving/Transmitting orders 1.5. Investment advice	Financial Instruments 1. Transferable securities		
Virtu Financial Ireland Limited	01 Aug 2012				Investment Services 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account Ancillary Services 2.4. Foreign exchange services	Financial Instruments 1. Transferable securities 3. Units in collective investment undertakings 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) 9. Financial CFDs	Italy (FOS) Germany (FOS) Portugal (FOS) France (FOS) Belgium (FOS) 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	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	Luxembourg (FOS) Austria (FOS) Greece (FOS) Czech Republic (FOS) Poland (FOS) United Kingdom (FOE)	
W & W Advisory Dublin Designated Activity Company 34 Molesworth 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	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 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 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 8. Derivatives for the transfer of credit risk 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 (l) hybrid instruments (m) insurance policies (n) 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		

Total number of Investment Firms : 87

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.

- 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.
 - 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 agent or deposit broker

(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.

(jj) 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;

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
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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.