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
abrdn Investments Ireland Limited t/a Aberdeen, Aberdeen Investments, Aberdeen Investments Global 2-4 Merrion Row Dublin 2	19 Dec 2018			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 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 10. Derivs re: CVs, FRs, IRs, ESs	Austria (FOS) Belgium (FOS) Cyprus (FOS) Denmark (FOE) Denmark (FOS) Finland (FOS) France (FOE) France (FOS) Germany (FOS) Greece (FOS) Iceland (FOS) Italy (FOE) Italy (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOE) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOE) Spain (FOS) Sweden (FOE) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Acuvest Limited The Greenway Ardilaun Court, Court C, Unit #912 112-114 St. Stephen's Green	1 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	**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	Malta (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
AFEX Markets Europe Limited t/a AFEX Markets Europe Limited, CORPAY Third Floor, Latin Hall Golden Lane Dublin 8	13 Feb 2020			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.5. Investment advice **Ancillary Services** 2.4. Foreign exchange services	**Financial Instruments** 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOE) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOE) Italy (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOE) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOE) Spain (FOS) Sweden (FOS)	
AGF International Advisors Company Limited 2nd Floor, Unit 12 Duke Lane Royal Hibernian Way	1 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	Austria (FOS) Belgium (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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Alantra Corporate Portfolio Advisors International (Ireland) Limited Fifth Floor, One Le Pole Square Ship Street Great Dublin 8	1 Sep 2023			No	**Investment Services** 1.1. Receiving/Transmitting 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 8. Derivatives for the transfer of credit risk 9. Financial CFDs	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Sweden (FOS)	
AllianceBernstein (Europe) Limited Suite 107 3-8 Hume Street Dublin 2	2 Sep 2024			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 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs	Austria (FOS) Belgium (FOS) Denmark (FOE) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOE) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Spain (FOS) Sweden (FOS)	
AMOVA ASSET MANAGEMENT IRELAND LIMITED The Greenway-Suite 404 Ardilaun Court (Block C) 112-114 St. Stephen’s Green	22 Dec 2025			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	**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	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOE) Germany (FOS) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Netherlands (FOE) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Aon Solutions Ireland Limited t/a Aon 15 George’s Quay Dublin 2 D02 VR98	3 Dec 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client 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 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs	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) 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)	
APEL Financial Distribution Services Limited t/a Artisan Partners Europe 70 Sir John Rogerson's Quay Dublin 2 D02 R296	25 Mar 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.5. Investment advice	**Financial Instruments** 3. Units in collective investment undertakings	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Spain (FOS) Sweden (FOE) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
AVA Trade EU Limited t/a AvaTrade Dockline Mayor Street Dublin 1	9 Jul 2009			Yes	**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) 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 (FOE) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
AWM Wealth Advisers Limited 3 Clanwilliam Terrace Grand Canal Quay Dublin 2	29 Mar 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.5. Investment advice **Ancillary Services** 2.5. Research and financial analysis	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled	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) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOE) Spain (FOS) Sweden (FOS)	
BCP Asset Management DAC t/a BCP 71 Upper Leeson Street Dublin 4	1 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	Malta (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
BCWM plc 13 Upper Mount Street 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		
Blackstone Ireland Limited 2nd Floor 30 Herbert Street Dublin 2	1 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	France (FOS) Germany (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Spain (FOS)	
Bloxham 2-3 Exchange Place IFSC Dublin 1	1 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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Brewin Dolphin Wealth Management Limited t/a RBC Brewin Dolphin 1st Floor, Number One Ballsbridge, Building 1, Shelbourne Road,	1 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 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 **Investment Instruments (IIA)** (j) certs conferring property rights (kk) tracker bond (m) insurance policies (n) PRSAs	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Cantor Fitzgerald Ireland Limited t/a Cantor Fitzgerald 23 St Stephen's Green Dublin 2	1 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	Austria (FOS) Belgium (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOE) Germany (FOS) Greece (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)	
Cash Manager Limited Aviation House Shannon	1 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 (l) hybrid instruments (m) insurance policies		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Centrus Advisors Limited Ella House, Suite 41.1 39-43 Merrion Square	27 Sep 2019			No	**Investment Services** 1.5. Investment advice **Ancillary Services** 2.3. Advice on capital structure 2.5. Research and financial analysis	**Financial Instruments** 1. Transferable securities 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	Cyprus (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS)	
Citadel Securities GCS (Ireland) Limited t/a Citadel Securities Ireland One Grand Canal Square Dublin 2	25 Oct 2018			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.4. Portfolio management 1.6. Underwriting or placing on firm commitment 1.7. Placing without firm commitment **Ancillary 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 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	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOE) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Latvia (FOS) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOE) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Comgest Asset Management International Limited 3rd Floor 46 St Stephens Green Dublin 2	1 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 (FOE) Austria (FOS) Belgium (FOE) Belgium (FOS) Czech Republic (FOS) Denmark (FOS) Finland (FOS) France (FOE) Germany (FOS) Italy (FOE) Italy (FOS) Liechtenstein Luxembourg (FOS) Netherlands (FOS) Norway Poland (FOS) Portugal (FOS) Slovakia (FOS) Spain (FOS) Sweden (FOS)	
Computershare Investor Services (Ireland) Limited 3100 Lake Drive Citywest Business Campus Dublin 24 D24 AK82	1 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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Concorde Investments Ireland Limited Concorde Investments Ireland Limited Office 2 27 Upper Fitzwilliam Street Dublin 2 D02 TP23	20 Dec 2018			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.5. Investment advice **Ancillary Services** 2.1. Safekeeping and administration 2.4. Foreign exchange services	**Financial Instruments** 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings	Hungary (FOS)	
Conexim Advisors Limited t/a Conexim/Conexim Platform Services/Conexim Advisor Support & Solutions Level 8 The Irish Life Building Lower Abbey Street	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	Malta (FOS)	
Ctrl Alt Technologies Limited Unit 2 Creative Spark Clontygora Drive	8 Jul 2026			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.7. Placing without firm commitment	**Financial Instruments** 1. Transferable securities	France (FOS) Germany (FOS) Luxembourg (FOS) Netherlands (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Custom House Capital Limited 4th Floor Marine House Clanwilliam Court Dublin 2	1 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 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 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 Securities Davy House 49 Dawson Street Dublin 2	1 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		
Elkstone Private Advisors Limited t/a Elkstone Ventures, Elkstone Wealth, Elkstone Private, Elkstone 76 Baggot Street Lower Dublin 2	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	Cyprus (FOS) Estonia (FOS) France (FOS) Germany (FOS) Italy (FOS) Malta (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
EquiLend Limited Hennebique Studio 5 Dame Lane Dublin 2	21 Mar 2019			No	**Investment Services** 1.8. Operation of multilateral trading facilities 1.9. Organised Trading Facility	**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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
EUI Private Wealth Limited 26 Upper Pembroke Street Dublin D02X361	29 Jan 2021			No	**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	**Financial Instruments** 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings **Investment Instruments (IIA)** (kk) tracker bond (n) PRSAs	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Evelyn Partners Investment Management (Europe) Limited t/a Evelyn Partners Investment Management (Europe) Limited 24 Saint Stephen's Green Dublin 2 Dublin	28 Mar 2019			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	**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)** (n) PRSAs	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Financial & Risk Transaction Services Ireland Limited t/a Financial & Risk Transaction Services Ireland Limited One Central Plaza Dame Street	28 Mar 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.8. Operation of multilateral trading facilities	**Financial Instruments** 1. Transferable securities 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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Fisher Investments Ireland Limited t/a Fisher Investments Ireland Limited, Fisher Investments Europe, Fisher Investments Ireland, Fisher Investments Italia, Fisher Investments Espana, Fisher Investments 3rd Floor 24-26 City Quay Dublin Docklands	12 Mar 2019			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	**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)** (n) PRSAs	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 (FOE) 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 (FOE) Spain (FOS) Sweden (FOS)	
Fitzgerald Brennan Asset Management Designated Activity Company 31/32 Fitzwilliam Square South Dublin 2	1 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** 2.3. 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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
FNZ (Europe) DAC 5th Floor 1 Cumberland Place Fenian Street	22 Dec 2020			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders **Ancillary Services** (g) Collective Investment Schemes 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 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 11. Emissions Allowances **Investment Instruments (IIA)** (kk) tracker bond	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOE) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
FTI Finance Limited t/a FTI Treasury International House 3 Harbourmaster Place IFSC Dublin 1	1 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** 2.3. 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	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) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Geneva Ireland Financial Trading Limited La Touche House 2nd Floor Dublin 1 Ireland	3 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	France (FOS) Germany (FOS) Netherlands (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Goodbody Stockbrokers Unlimited Company t/a Goodbody 9-12 Dawson Street	1 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 2.5. Research and financial analysis 2.6. Services re underwriting 2.7. Investment services re certain instruments **Investment Business Services (IIA)** (f) deposit agent/broker	**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)** (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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Guggenheim Partners Europe Limited t/a Guggenheim Investments South Dock House Hanover Quay Dublin 2	1 Nov 2007			No	**Investment Services** 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 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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Guggenheim Securities Europe Limited t/a GSEL, Guggenheim Securities, Guggenheim 7/8 Upper Mount Street	22 Mar 2024			No	**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 2.7. Investment services re certain instruments	**Financial Instruments** 1. Transferable securities 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	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) 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)	
Guinness Asset Management (Ireland) Limited 22 Northumberland Road Ballsbridge Dublin 4	16 Dec 2024			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	France (FOE) Germany (FOE)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
HANetf EU Limited 7-8 Mount Street Upper Dublin 2	1 Sep 2023			No	**Investment Services** 1.1. Receiving/Transmitting orders	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Iceland (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Spain (FOS) Sweden (FOS)	
Haven Green Investment Management Limited Smyth House 6/7 St. Stephens Green Dublin 2	30 Sep 2022			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.7. Placing without firm commitment	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Iceland (FOS) Italy (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
HRTEU Limited t/a HRTEU Limited 76 Sir John Rogerson's Quay 1st Floor Grand Canal Dock	22 Mar 2019			No	**Investment Services** 1.2. Executing client orders 1.3. Dealing on own account 1.4. Portfolio management	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled 6. Derivs re: comms – TOTV, phys settled (ex WEPs)	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) 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)	
IIU Asset Strategies Limited IFSC House International Financial Services Centre Custom House Quay Dublin 1	1 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
IKS - Impakt Kapital Services Limited t/a IKS - Impakt Kapital Services Limited 44 Leeson Street Lower Dublin 2	20 Jul 2020			No	**Investment Services** 1.7. Placing without firm commitment	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings	Austria (FOS) Belgium (FOS) Cyprus (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Latvia (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Independent Trustee Company Limited Harmony Court Harmony Row Dublin 2	1 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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Interactive Brokers Ireland Limited North Dock One 91/92 North Wall Quay Dublin	22 Dec 2020			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account **Ancillary Services** 2.1. Safekeeping and administration 2.2. Granting credits or loans 2.4. Foreign exchange services 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 6. Derivs re: comms – TOTV, phys settled (ex WEPs) 7. Derivs re: commodities – other than in para 6 9. Financial CFDs 10. Derivs re: CVs, FRs, IRs, ESs **Investment Instruments (IIA)** (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Investec Europe Limited t/a Investec Europe The Harcourt Building Harcourt Street Dublin 2	10 Apr 2019			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.7. Placing without firm commitment **Ancillary Services** 2.1. Safekeeping and administration 2.2. Granting credits or loans 2.3. Advice on capital structure 2.4. Foreign exchange services 2.5. Research and financial analysis 2.6. Services re underwriting **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 8. Derivatives for the transfer of credit risk 10. Derivs re: CVs, FRs, IRs, ESs **Investment Instruments (IIA)** (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (kk) tracker bond	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
J&E Davy Unlimited Company t/a Davy Davy House 49 Dawson Street Dublin 2	1 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 2.5. 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 (n) PRSAs	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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
J.P. Morgan Dublin plc 200 Capital Dock 79 Sir John Rogerson's Quay Dublin	22 Mar 2019			No	**Investment Services** 1.2. Executing client orders 1.3. Dealing on own account 1.7. Placing without firm commitment **Ancillary Services** 2.4. Foreign exchange services 2.6. Services re underwriting	**Financial Instruments** 1. Transferable securities 2. Money-market instruments 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled	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) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
KBI Global Investors (North America) Ltd 3rd Floor 2 Harbourmaster Place IFSC Dublin 1	1 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 (l) hybrid instruments		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
KBI Global Investors Ltd 3rd Floor 2 Harbourmaster Place IFSC Dublin 1	1 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) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (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		
Kestrel Capital Limited 12 Hatch Street Lowerx Dublin 2	19 May 2016			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 10. Derivs re: CVs, FRs, IRs, ESs **Investment Instruments (IIA)** (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Austria (FOS) Belgium (FOS) Cyprus (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Malta (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
Key Capital Private Limited 4th Floor Huguenot House St Stephen's Green Dublin 2	1 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 **Investment Instruments (IIA)** (h) Sale, Repo & reverse repo agreement (j) certs conferring property rights (m) insurance policies (n) PRSAs	Germany (FOS) Luxembourg (FOS)	
Keyridge Asset Management Limited t/a Irish Life Investment Managers, Setanta Asset Management Irish Life Centre Lower Abbey Street	1 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	Austria (FOS) Belgium (FOS) Denmark (FOS) France (FOS) Germany (FOS) Greece (FOS) Italy (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
KKR Capital Markets (Ireland) Limited Cadenza Building 19/20 Earlsfort Terrace Dublin 2	5 Feb 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.6. Underwriting or placing on firm commitment 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 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	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) Liechtenstein (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	Tied Agents
KKR Credit Advisors (Ireland) Unlimited Company t/a KKR Avoca Cadenza Building 19/20 Earlsfort Terrace Dublin 2	1 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	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) 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)	
Lee Overlay Partners Limited t/a Adrian Lee & Partners West Pier Business Campus Dun Laoghaire Co. Dublin	1 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 3. Units in collective investment undertakings 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)	
Lockton Re Capital Markets Limited Floor 3 18 Lower Leeson Street Dublin 2	15 Jan 2025			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.7. Placing without firm commitment **Ancillary Services** 2.3. Advice on capital structure	**Financial Instruments** 1. Transferable securities 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled	France (FOS) Germany (FOS) Netherlands (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
MacKenzie Investments Europe Limited Brooklawn House Shelbourne Road Ballsbridge Dublin 4	1 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		
Marex Spectron Europe Limited Suite 401 Q House Furze Road Sandyford Business Park Dublin 18	4 Mar 2019			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.9. Organised Trading Facility	**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 10. Derivs re: CVs, FRs, IRs, ESs 11. Emissions Allowances	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Croatia (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France (FOS) Germany (FOE) Germany (FOS) Greece (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 (FOE) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Marsh (Mercer) Ireland Limited t/a Mercer The Frame 74 Lower Baggot Street Dublin 2	14 May 2009			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 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 (n) PRSAs	Belgium (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Italy (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Portugal (FOS) Spain (FOS) Sweden (FOS)	
Marsh Investments International Limited The Frame 74-75 Lower Baggot Street	1 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)** (h) Sale, Repo & reverse repo agreement (i) securities borrowing/lending agreements (jj) rolling spot F/X (kk) tracker bond (l) hybrid instruments	Austria (FOS) Belgium (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany Germany (FOE) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Slovakia (FOS) Spain (FOS) Sweden Sweden (FOE)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Marsh Securities (Ireland) Limited t/a GC Securities The Frame 74 Baggot Street Lower	30 Jul 2021			No	**Investment Services** 1.7. Placing without firm commitment **Ancillary Services** 2.3. Advice on capital structure	**Financial Instruments** 1. Transferable securities 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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
MMPI Limited t/a Broker Solutions, MMPI, Broker FX, Treasury Products and Investments 101 Morehampton Road Donnybrook Dublin 4	1 Nov 2007			No	**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 (kk) tracker bond (l) hybrid instruments (m) insurance policies (n) PRSAs	Belgium (FOS)	
Money Markets International Limited 26 Lower Baggot Street Dublin 2	1 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) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Moneycorp Technologies Limited t/a Moneycorp 24 Windsor Place Dublin 2	24 Jun 2020			Yes	**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** 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled	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) Liechtenstein (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOE) Spain (FOS) Sweden (FOS)	
MUFG Alternative Fund Services (Ireland) Limited t/a MUFG Investor Services 15 George’s Quay	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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Multi Family Wealth Limited Unit 22 Classon House Dundrum Business Park,	11 Dec 2023			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	**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	France (FOS) Luxembourg (FOS) Portugal (FOS) Spain (FOS)	
NAPERTE DESIGNATED ACTIVITY COMPANY t/a Omnium Investment Platform Suite 1 The Beacon Court Sandyford Dublin 18	13 Mar 2015			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice **Ancillary Services** 2.1. Safekeeping and administration 2.4. Foreign exchange services	**Financial Instruments** 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings	Belgium (FOS) Cyprus (FOS) Denmark (FOS) Germany (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
NBC Global Finance Limited t/a NBC Global Finance 5th Floor, Block 2 Fibonacci Place Merrion Road Dublin 4	1 Apr 2015			No	**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 (i) securities borrowing/lending agreements (jj) rolling spot F/X	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) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Nearwater Capital Markets Europe Limited t/a Nearwater Capital, Nearwater Capital Markets 1 Georges Quay Plaza 10th Floor Dublin 2	2 Dec 2025			No	**Investment Services** 1.3. Dealing on own account	**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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
New England Asset Management Limited The Oval - Block 3 Ballsbridge Dublin 4	9 Jul 2009			No	**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	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) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Newcourt Retirement Fund Managers Limited Father Mathew Hall 131 Church Street Dublin 7	1 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		
Oristan Ireland Designated Activity Company Block 4, Harcourt Road Harcourt Centre Suite 502 Dublin 2	1 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	France (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Pershing Securities International Limited The Shipping Office Sir John Rogerson's Quay Grand Canal Dock Dublin 2 D02 Y049	1 Nov 2007			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 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	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 Italy (FOS) Latvia (FOS) Liechtenstein Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway Poland (FOS) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Quest Retirement Solutions Limited 1C ELM HOUSE, MILLENNIUM PARK, NAAS, CO. KILDARE	13 Oct 2008			Yes	**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 (n) PRSAs		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Quilter Cheviot Europe Limited t/a Quilter Cheviot, Quilter Cheviot Investment Management Hambleden House 19-26 Lower Pembroke Street Dublin	4 Jul 2019			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.4. Portfolio management 1.5. Investment advice **Ancillary Services** 2.1. Safekeeping and administration 2.4. Foreign exchange services	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings **Investment Instruments (IIA)** (n) PRSAs	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Romania (FOS) Spain (FOS) Sweden (FOS)	
Rathbones Investment Management International (Ireland) Limited Fitzwilliam Hall Fitzwilliam Place Dublin 2	5 Oct 2026			Yes	**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	Austria (FOS) Belgium (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Finland (FOS) France (FOS) Germany (FOS) Greece (FOS) Hungary (FOS) Italy (FOS) Lithuania (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Poland (FOS) Portugal (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Rubicon Infrastructure Advisors Unlimited Company t/a Rubicon Capital Advisors 10 Pembroke Place Ballsbridge Dublin 4	29 Apr 2014			No	**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) Portugal (FOS) Romania (FOS) Slovakia (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Russell Investments Ireland Limited 78 Sir John Rogerson's Quay Dublin 2	21 Dec 2022			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	**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	Austria (FOS) Belgium (FOS) Denmark (FOS) Finland (FOS) Germany (FOE) Germany (FOS) Italy (FOE) Liechtenstein (FOS) Luxembourg (FOS) Netherlands (FOE) Norway (FOS) Sweden (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
SILVERCREST ASSET MANAGEMENT (EUROPE) LIMITED 50 Northumberland Road Ballsbridge Dublin 4	8 Sep 2026			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 3. Units in collective investment undertakings 4. Derivs re: secs/ccys/IRYs/EAs phys/cash settled 8. Derivatives for the transfer of credit risk	Belgium (FOS) Germany (FOS) Luxembourg (FOS) Netherlands (FOS) Poland (FOS) Spain (FOS)	
SS&C Wealth Services Europe Limited Bishops Square Redmonds Hill Dublin 2	30 Sep 2025			Yes	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders **Ancillary Services** 2.1. Safekeeping and administration	**Financial Instruments** 1. Transferable securities 2. Money-market instruments 3. Units in collective investment undertakings	Denmark (FOS) Finland (FOS) Germany (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Sweden (FOS)	
Strix Asset Management Limited Strix Asset Management Limited Ella House Suite 41.4	5 Dec 2023			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	**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	Greece (FOS)	

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	1 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) 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) 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 (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 5th Floor One Molesworth Street Dublin 2 D02RF29	1 Nov 2007			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account 1.6. Underwriting or placing on firm commitment 1.7. Placing without firm commitment **Ancillary Services** 2.2. Granting credits or loans 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 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	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)	
Trading 212 Markets (Ireland) Limited Suite 101 Sobo Works Windmill Lane	1 Dec 2025			No	**Investment Services** 1.1. Receiving/Transmitting orders 1.2. Executing client orders 1.3. Dealing on own account **Ancillary Services** 2.2. Granting credits or loans 2.4. Foreign exchange services	**Financial Instruments** 1. Transferable securities 3. Units in collective investment undertakings 9. Financial CFDs	Cyprus (FOS) Germany (FOS)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Virtu Europe Trading Limited North Dock One 5th Floor 91-92 North Wall Quay	1 Nov 2007			Yes	**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)** (l) hybrid instruments	Austria (FOS) Belgium (FOS) Bulgaria (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOE) Finland (FOS) France (FOE) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Virtu Financial Ireland Limited North Dock One 91/92 North Wall Quay Fifth Floor Dublin	1 Aug 2012			No	**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	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) 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)	

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
Waystone Investment Management (IE) Limited 4th Floor 35 Shelbourne Rd Dublin 4	1 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 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	Austria (FOS) Belgium (FOS) Cyprus (FOS) Czech Republic (FOS) Denmark (FOS) Estonia (FOS) Finland (FOS) France France (FOS) Germany Germany (FOS) Greece (FOS) Hungary (FOS) Iceland (FOS) Italy (FOS) Liechtenstein (FOS) Luxembourg (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Portugal (FOS) Slovenia (FOS) Spain (FOS) Sweden (FOS)	
Willis Human Capital & Benefits Ireland Limited t/a Willis HC&B Ireland Elm Park Merrion Road Dublin 4	1 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		

Name and Address	Auth Date	Revocation Date	Revocation Reason	Client Money	Business Services	Financial Instruments	Other Jurisdictions	Tied Agents
WisdomTree Ireland Limited 25 North Wall Quay Dublin 1	23 Oct 2018			No	**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) Denmark (FOS) Finland (FOS) France (FOE) France (FOS) Germany (FOE) Germany (FOS) Greece (FOS) Italy (FOE) Italy (FOS) Luxembourg (FOS) Malta (FOS) Netherlands (FOS) Norway (FOS) Poland (FOS) Spain (FOS) Sweden (FOS)	

Total number of Investment Firms : 94

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.
8. Derivative instruments for the transfer of credit risk.
9. Financial contracts for differences.
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.

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
(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;
(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.