**Explanatory note to Annex of CIF authorisation / Пояснительная записка к Приложению к Лицензии**

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| **Investment Services/Activities / Инвестиционные услуги/Деятельность** |
| I(1) | Reception and transmission of orders in relation to one or more financial instruments / Прием и передача приказов в отношении одного или более финансовых инструментов |
| I(2) | Execution of orders on behalf of clients / Исполнение приказов от имени клиента |
| I(3) | Dealing on own account / Собственная торговля – Дилинг |
| I(4) | Portfolio management / Управление активами |
| I(5) | Investment advice / Инвестиционное консультирование |
| I(6) | Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis / Размещение с твердой подпиской |
| I(7) | Placing of financial instruments without a firm commitment basis / Размещение без твердой подписки |
| I(8) | Operation of Multilateral Trading Facility / Организация Регулируемой Торговой Системы |
| **Ancillary Services / Вспомогательные Услуги** |
| II(1) | Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management / Депозитарные услуги, включая регистрацию обременений |
| II(2) | Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction / Предоставление кредитов и займов Клиентам в целях поддержания торговых операций |
| II(3) | Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings / Консультирование по корпоративным финансам |
| II(4) | Foreign exchange services where these are connected to the provision of investment services / Вспомогательная валютная конверсия для предоставления Инвестиционнных услуг |
| II(5) | Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments / Рыночная аналитика и рекоммендации |
| II(6) | Services related to underwriting / Услуги, сопутствующие андеррайтингу |
| II(7) | Investment services and activities as well as ancillary services of the type included under Parts I and II related to the underlying of the derivatives included under paragraphs 5, 6, 7 and 10 of Part III where these are connected to the provision of investment or ancillary services / Инвестиционные и Вспомогательные услуги в отношении базисных активов деривативных инструментов |
| **Financial Instruments / Финансовые Инструменты** |
| III(1) | Transferable securities / Инструменты фондового рынка |
| III(2) | Money-market instruments / Инструменты денежного рынка |
| III(3) | Units in collective investment undertakings / Паи инвестиционных фондов |
| III(4) | Options (O), futures (F), swaps (S), forward rate agreements (FRA) and any other derivative contracts (DC) relating to securities, currencies, interest rates or yields, or other derivatives instruments, financial indices or financial measures which may be settled physically or in cash / Финансовые инструменты, производные от ценных бумаг |
| III(5) | O, F, S, FRA and any other DC relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event) / Безпоставочные финансовые инструменты, производные от товарных активов |
| III(6) | O,F,S and any other DC relating to commodities that can be physically settled provided that they are traded on a regulated market or/and an MTF / Поставочные финансовые инструменты, производные от товарных активов, торгуемые на оганизованных рынках или Регулируемых торговых системах |
| III(7) | O,F,S, forwards and any other DC relating to commodities, that can be physically settled not otherwise mentioned in III(6) and not being for commercial purposes, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are cleared and settled through recognized clearing houses or are subject to regular margin calls / Поставочные финансовые инструменты неспекулятивного характера, производные от товарных активов, не включенные в п.6 и носящие признаки прочих деривативов, включая возможность расчетов в признанных клиринговых центрах и по которым могут выставляться требования о довнесении ДС |
| III(8) | Derivative instruments for the transfer of credit risk / Финансовые инструменты передачи кредитного риска |
| III(9) | Financial contracts for differences / Финансовые контракты на разницу |
| III(10) | O, F, S, FRA and any other DC relating to climatic variables, freight rates, emission allowances 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 (otherwise than by reason of a default or other termination event), as well as any other derivative contract relating to assets, rights, obligations, indices and measures not otherwise mentioned in this Part, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are traded on a regulated market or an MTF, are cleared and settled through recognised clearing houses or are subject to regular margin calls / Прочие финансовые инструменты, производные климатических изменений, тарифов на фрахт, допустимых уровней загрязнения, индексов, уровней инфляции и т.п. |