

SCHEDULE 3

Section 7

INDEX OF REGULATED ACTIVITIES**Part 1
The Regulated Activities**

Regulated activity	Item to which the activity relates (listed in section 5(2))	Provision of Schedule 2	General description for persons carrying on the activity	Relevant Single Market Directive (“SMD”)
Column 1	Column 2	Column 3	Column 4	Column 5
Accepting deposits	(a) deposits	Part 2	Credit institution/ financial institution	Capital Requirements Directive
Issuing electronic money	(b) electronic money	Part 3	Electronic money issuer	E-Money Directive
Providing payment services	(c) payment services	Part 4	Payment service provider	Payment Services Directive
Effecting or carrying out contracts of insurance	(d) contracts of insurance	Chapter 2 of Part 5	Insurance undertaking	Solvency 2 Directive
Insurance management	(d) contracts of insurance	Chapter 3 of Part 5	Insurance manager	N/A
Taking up or pursuing insurance distribution	(d) contracts of insurance	Chapter 4 of Part 5	Insurance intermediary/ ancillary insurance intermediary	Insurance Distribution Directive
Taking up or pursuing reinsurance distribution			Reinsurance intermediary	
Reception and transmission of orders	(e) financial instruments	Chapter 2 of Part 6	Investment firm	MiFID 2 Directive

Execution of orders on behalf of clients			Investment firm	
Dealing on own account			Investment firm	
Portfolio management			Investment firm	
Investment advice			Investment firm	
Underwriting or placing on a firm commitment basis			Investment firm	
Placing without a firm commitment basis			Investment firm	
Operation of an MTF			Investment firm	
Operation of an OTF			Investment firm	
Sending dematerialised instructions	(e) financial instruments	Chapter 3 of Part 6	Sender of dematerialised instructions	N/A
Selling or advising in relation to structured deposits	(f) structured deposits	Part 7	Investment firm/ Credit institution	MiFID 2 Directive
Administering a benchmark	(g) benchmarks	Part 8	Benchmark administrator	Benchmarks Regulation
Operating a regulated market	(h) markets in connection with financial instruments	Part 9	Regulated market	MiFID 2 Directive
Providing data reporting services	(i) data reporting services	Part 10	Data reporting services provider	MiFID 2 Directive
Managing a UCITS	(j) property of any kind	Chapter 2 of Part 11	UCITS management company	UCITS Directive
Acting as depositary of a UCITS			Depositary acting on	UCITS Directive

			behalf of a UCITS	
Managing AIFs (in-scope AIFM)			In-scope AIFM	AIFM Directive
Managing AIFs (small scheme manager)			Small scheme manager	N/A
Acting as depositary of an AIF with an in-scope AIFM			AIF depositary (AIFs with in-scope AIFM)	AIFM Directive
Acting as depositary of an AIF with a small scheme manager			AIF depositary (AIFs with small scheme manager)	N/A
Establishing etc. a collective investment scheme			CIS operator	N/A
Acting as administrator of a collective investment scheme			CIS administrator	N/A
Establishing etc. a personal pension scheme	(j) property of any kind	Chapter 3 of Part 11	Personal pension scheme operator	N/A
Advising on personal or occupational pension schemes			Pension scheme adviser	N/A
Granting credit by means of a mortgage credit agreement	(k) credit agreements in connection with residential immovable property	Part 12	Mortgage creditor	Mortgage Credit Directive
Acting as a mortgage credit intermediary			Mortgage credit intermediary	
Providing advisory services in			Mortgage creditor / mortgage	

connection with mortgage credit			credit intermediary	
Company etc. management	(l) companies, foundations, partnerships or unincorporated associations	Part 13	Company manager	N/A
Acting as professional trustee or foundation councillor	(m) trusts or foundations	Part 14	Professional trustee/ foundation councillor	N/A
Administering a trust			Trust administrator	N/A
Acting as a bureau de change	(n) currency, precious metals or cheques	Part 15	Bureau de change	N/A
Providing distributed ledger technology services	(o) value belonging to another which is stored by means of a database system	Part 16	DLT provider	N/A