



AUTHORISATION

This scope of authorisation replaces the scope dated the 20th October 2009

Under article 11 (2) of the Qatar Financial Centre Law (Law No. (7) of 2005 of the State of Qatar), the Qatar Financial Centre **Regulatory Authority** has granted

Guardian Wealth Management Qatar LLC

QFC No. 00113

authorisation under the Financial Services Regulations and the *Insurance Mediation Business Rules 2011* to carry on insurance mediation in or from the Qatar Financial Centre, subject to the restrictions and conditions set out in schedule 1 (Scope of Authorisation).

Conditions relating to client money and retail customers

- (1) **Guardian Wealth Management Qatar LLC** must not hold client money.
- (2) **Guardian Wealth Management Qatar LLC** may conduct insurance mediation with or for retail customers.

Issued at the Qatar Financial Centre, Doha this 31st day of March 2012

MICHAEL RYAN
Chief Executive Officer



Schedule 1 Scope of Authorisation

Under article 11 (2) of the Qatar Financial Centre Law and article 29 of the Financial Services Regulations, the authorisation granted to **Guardian Wealth Management Qatar LLC** to conduct insurance mediation is subject to the restrictions and conditions below.

- (1) The regulated activity of insurance mediation is restricted to—
 - (a) giving advice to other persons about the merits of entering into long term insurance contracts and general insurance contracts, categories 1 and 2, whether as principal or agent;
 - (b) making arrangements with a view to other persons buying long term insurance contracts and general insurance contracts, categories 1 and 2, whether as principal or agent; and
 - (c) assisting in the administration or performance of long term insurance contracts and general insurance contracts, categories 1 and 2, for or on behalf of policyholders.