

**SCOPE OF AUTHORISATION**

As provided in the Authorisation Certificate, pursuant to its powers under Article 11(2) of the Qatar Financial Centre Law and Article 29 of the Financial Services Regulations, the Qatar Financial Centre Regulatory Authority has granted **Concordia Capital LLC** authority, subject to the conditions and restrictions stated below, to conduct the following Regulated Activities in respect of the listed Specified Products:

<b>Regulated Activity</b>	<b>Specified Products</b>
<ul style="list-style-type: none"><li>• <b>Arranging Deals in Investments</b></li></ul>	<ul style="list-style-type: none"><li>• Shares</li><li>• Debt Instruments</li><li>• Warrants</li><li>• Securities Receipt</li><li>• Units in a Collective Investment Fund</li><li>• Rights in Investments</li></ul>
Specific Conditions and Restrictions	<ul style="list-style-type: none"><li>• None</li></ul>
<ul style="list-style-type: none"><li>• <b>Arranging Credit Facilities</b></li></ul>	<ul style="list-style-type: none"><li>• Credit Facility</li></ul>
Specific Conditions and Restrictions	<ul style="list-style-type: none"><li>• None</li></ul>
<ul style="list-style-type: none"><li>• <b>Arranging the Provision of Custody Services</b></li></ul>	<ul style="list-style-type: none"><li>• Shares</li><li>• Debt Instruments</li><li>• Warrants</li><li>• Securities Receipt</li><li>• Units in a Collective Investment Fund</li><li>• Rights in Investments</li></ul>
Specific Conditions and Restrictions	<ul style="list-style-type: none"><li>• None</li></ul>
<ul style="list-style-type: none"><li>• <b>Advising on Investments</b></li></ul>	<ul style="list-style-type: none"><li>• Shares</li><li>• Debt Instruments</li><li>• Warrants</li><li>• Securities Receipt</li><li>• Units in a Collective Investment Fund</li><li>• Rights in Investments</li></ul>
Specific Conditions and Restrictions	<ul style="list-style-type: none"><li>• None</li></ul>

Own Initiative Action Notice  
Effective 18/May/2014



QATAR FINANCIAL CENTRE

**REGULATORY  
AUTHORITY**

**GENERAL CONDITIONS, RESTRICTIONS AND REQUIREMENTS**

The firm is prohibited from conducting Regulated Activities with or on behalf of Retail Customers unless it has received the prior authorisation of the Regulatory Authority.

**EFFECTIVE DATE**

13<sup>th</sup> January 2011

**QFC NUMBER**

00129

  
Deputy Chief Executive Officer

**WITHDRAWN**