



QATAR FINANCIAL CENTRE

**REGULATORY  
AUTHORITY**

## **AUTHORISATION**

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

**Bank J. Safra Sarasin (QFC) LLC**

**QFC No. 00212**

authorisation under the Financial Services Regulations to carry on the following regulated activities:

- Arranging Deals in Investments;
- Advising on Investments;
- Arranging the Provision of Custody Services; and
- Arranging Credit facilities

in or from the Qatar Financial Centre, subject to the restrictions and conditions set out below and in Schedule 1 (Scope of Authorisation).

### **Conditions relating to retail customers**

**Bank J. Safra Sarasin (QFC) LLC** must not conduct any regulated activities with or for retail customers unless it has been granted an authorisation to do so by the Qatar Financial Centre **Regulatory Authority**.

Issued at the Qatar Financial Centre, Doha this 9<sup>th</sup> day of February 2015.

MICHAEL RYAN  
Chief Executive Officer



## **Schedule 1    Scope of Authorisation**

The authorisation granted to **Bank J. Safra Sarasin (QFC) LLC** to carry on the regulated activities of Arranging Deals in Investments, Advising on Investments, Arranging the Provision of Custody Services and Arranging Credit Facilities is restricted to the following specified products:

- (a) Shares;
- (b) Debt Instruments;
- (c) Warrants;
- (d) Units in a Collective Investment Fund;
- (e) Options;
- (f) Futures;
- (g) Contracts for Differences; and
- (h) Rights in Investments.