Nombre de la Entidad:

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| **LISTA DE SERVICIOS Y ACTIVIDADES DE INVERSION, SERVICIOS AUXILIARES, INSTRUMENTOS FINANCIEROS Y ACTIVIDADES ACCESORIAS** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **DENOMINACIÓN EMPRESA DE ASESORAMIENTO FINANCIERO:** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **ACTIVIDADES** | | | | |  | | **INSTRUMENTOS FINANCIEROS (ANEXO del TRLMV, por remisión del artículo 2)** | | | | | | | | | | | | | | | | | | | | | | | | |  | **CLIENTES** | | | |
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| **SERVICIOS Y ACTIVIDADES DE INVERSIÓN (art. 140 TRLMV)** |  |  |  |  |  | | **a)** | | **b)** | | | **c)** | | **d)** | | **e)** | | **f)** | | **g)** | | | **h)** | | **i)** | | **j)** | | **k)** | | |  | **Minoristas** | | **Profesionales** | |
| Asesoramiento en materia de inversión. |  | **□** |  | □ |  | | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | | □ | | □ | | □ | | □ | | |  | □ | | □ | |
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| **SERVICIOS AUXILIARES (art. 141 TRLMV)** |  |  |  |  |  | |  | |  | | |  | |  | |  | |  | |  | | |  | |  | |  | |  | | |  |  | |  | |
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| Asesoramiento a empresas sobre estructura de capital, estrategia industrial y cuestiones afines, así como el asesoramiento y demás servicios en relación con fusiones y adquisiciones de empresas. |  | **□** |  | □ |  | |  | | | | | | | | | | | | | | | | | | | | | | | | |  | □ | | □ | |
| Elaboración de informes de inversiones y análisis financieros u otras formas de recomendación general relativa a las operaciones sobre instrumentos financieros. |  | □ |  | □ |  | | □ | | □ | | | □ | | □ | | □ | | □ | | □ | | | □ | | □ | | □ | | □ | | |  | □ | | □ | |
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| **ACTIVIDADES ACCESORIAS (art. 142 del TRLMV)** | | | | | | | | | | | | |  | |  | |  | |  | |  |  | |  | |  | |  | |  |  | | |  | |  |
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| **SERVICIOS Y ACTIVIDADES DE INVERSION/ SERVICIOS AUXILIARES SOBRE INSTRUMENTOS NO CONTEMPLADOS EN EL ARTÍCULO 2 DEL TRLMV** | | | | | |  | |  | |  |  | |  | | **INSTRUMENTOS** | | | | | | | | | | | | | | |  | **CLIENTES** | | | | | |
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| **ACTIVIDADES QUE SUPONEN PROLONGACIÓN DEL NEGOCIO** | | | | | |  | |  | |  |  | |  | | **DETALLE** | | | | | | | | | | | | | | |  | **CLIENTES** | | | | | |
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| **= DESCRIPCIÓN DE LAS PARTICULARIDADES O LIMITACIONES EN LA PRESTACIÓN DE LOS SERVICIOS CONTEMPLADOS EN LA LISTA DE SERVICIOS Y ACTIVIDADES DE INVERSIÓN / SERVICIOS AUXILIARES** |  |  |  |  |  | **SERVICIOS Y ACTIVIDADES DE INVERSION/ SERVICIOS AUXILIARES Y OTRAS ACTIVIDADES** | | | | | | | | | | **EXPLICACIÓN** | | | | | | | | |
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| **INSTRUCCIONES** |  |  | **=** | Marcar si realiza los distintos servicios o actividades (en caso contrario, dejar en blanco) | | | | | | | | | | | | | | | | | | | | |
|  |  |  |  | | | | | | | | | | | | | | | | | | | | |
|  |  | **=** | Marcar esa opción si existen restricciones en su lista de servicios y actividades de inversión / servicios auxiliares, o se ha de precisar su alcance | | | | | | | | | | | | | | | | | | | | |
|  |  |  | Ejemplo 1: | | Si se restringe la prestación de servicios a clientes con un patrimonio mínimo determinado, | | | | | | | | | | | | | | | | | | |
|  |  |  | Ejemplo 2: | | Si presta servicios, entre otros, sobre alguno de los instrumentos del artículo 2.1 del TRLMV, deberá indicar a qué subcategoría de ese número se refieren.. | | | | | | | | | | | | | | | | | | |