

SUPERVISION AND PERMITS

Pareto Securities AB is supervised by the Swedish Financial Supervisory Authority (www.fi.se) and has the following permits in accordance with the Securities Market Act (2007:528);

Permits to run securities operations through;

1. receive and forward orders regarding one or several financial instruments,
2. execute orders in financial instruments on behalf of clients,
3. conduct proprietary trading in financial instruments,
4. provide clients with investment advice regarding financial instruments,
5. underwrite financial instruments and placement of financial instruments with a firm commitment, and
6. placement of financial instruments without a firm commitment.

and offer ancillary services and operations through;

1. safekeeping of financial instruments on behalf of clients and receive funds associated with requirements of record keeping,
2. provide clients with a credit facility whereof clients, through the securities company, can carry out a transaction in one or several financial instruments,
3. provide advice to companies regarding capital structure, business strategy and related thereof matters and providing advice and services in conjunction with mergers and acquisitions,
4. provide FX services if they are associated with investment services,
5. produce and distribute investment and financial research, and other forms of general recommendations regarding trading in financial instruments,
6. provide services related to underwriting in financial instruments,
7. receive and deposit clients' funds in custody accounts in order to facilitate securities operations.

Secondary businesses;

1. FX Trading
2. Act as Certified Adviser
3. Register as manager of fund units in accordance with the Swedish Investment Funds Act (2004:46).