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Prince de Heidendorf Asset Management

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11. May 2018 | [Investor Warning \(https://www.fma.gv.at/en/category/news-en/investor-warning/\)](https://www.fma.gv.at/en/category/news-en/investor-warning/)

Pursuant to Article 4 para. 7 of the Bankwesengesetz (BWG; Banking Act) and Article 92 para. 11 of the Wertpapieraufsichtsgesetz 2018 (WAG 2018; Securities Supervision Act 2018), the Austrian Financial Market Authority (FMA) may disclose to the general public by publication on the Internet, in the official gazette “Amtsblatt zur Wiener Zeitung”, or in any other newspaper with nationwide circulation, that a particular natural or legal person (person) is not entitled to carry out certain banking transactions (Article 1 para. 1 BWG) or investment services transactions (Article 3 para. 2 nos. 1 to 4 WAG 2018), provided that said person has given cause for such action and informing the general public is deemed necessary and reasonable with regard to possible disadvantages of the person concerned.

By publication in the official gazette “Amtsblatt zur Wiener Zeitung” of 11 May 2018, the FMA hereby informs that

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is not authorised to carry out banking transactions or payment services in Austria that require a licence. The provider is therefore prohibited from providing investment advice on a commercial basis in relation to financial instruments (Article 3 para. 2 no. 1 WAG 2018).

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the receiving and transmitting of orders, where such activities relate to one or several financial instruments (Article 3 para. 2 no. 1 WAG 2018), as well as trading on its own account

or on the account of others with financial contracts (Futures) including equivalent instruments settled in cash with call and put options on the instruments listed in lits. a and d to f including equivalent instruments settled in cash (futures and options business pursuant to Article 1 para. 1 no. 7 lit. c BWG).

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