

SCHEDULES

SCHEDULE 1

INVESTMENTS AND INVESTMENT BUSINESS

PART II

ACTIVITIES CONSTITUTING INVESTMENT BUSINESS

Investment advice

- 15 Giving, or offering or agreeing to give, to persons in their capacity as investors or potential investors advice on the merits of their purchasing, selling, subscribing for or underwriting an investment, or exercising any right conferred by an investment to acquire, dispose of, underwrite or convert an investment.