



**CYPRUS SECURITIES AND EXCHANGE COMMISSION**

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**TO : Cyprus Investment Firms**  
**FROM : Cyprus Securities and Exchange Commission**  
**DATE : 3 May 2010**  
**CIRCULAR No. : CI144-2010-03**  
**FILE No. : E.K. 6.1.14**  
**SUBJECT : Certification of persons employed by Cyprus Investment Firms**

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The Cyprus Securities and Exchange Commission ('the Commission') wishes, with the present circular, to request the Cyprus Investment Firms (the 'CIFs'), for information purposes regarding their compliance with Part VI of the Investment Services and Activities and Regulated Markets Law of 2007, as amended ('the Law'), to complete in electronic form and submit to the Commission, at the electronic mail address [investmentfirms@cysec.gov.cy](mailto:investmentfirms@cysec.gov.cy), the attached Table.

All columns of the Table should be completed for the persons that are employed by CIFs as at 3<sup>rd</sup> of May 2010, including the persons employed at their tied agents, who perform any of the following duties according to section 52(1) of the Law who, **are not** registered in the public register according to section 53 of the Law:

1. Reception and transmission of orders in relation to one or more financial instruments
2. Execution of orders on behalf of clients
3. Dealing on own account
4. Portfolio management
5. Investment advice
6. Underwriting of financial instruments or/and placing of financial instruments on a firm commitment basis

The CIFs are requested to submit the abovementioned the soonest and not later than **May 17<sup>th</sup>, 2010**.

Sincerely

Georgios Charalambous  
Chairman, Cyprus Securities and Exchange Commission

**This unofficial English text is for information purposes only and is not legally binding.**

## APPENDIX

CIF's / Tied Agent's Name	Employee's Name and Surname	Identity Card/Passport Number	Duties* (1-6)	Date of employment at CIF/Tied Agent	Exemption from the Commission [section 52(2)] (YES/NO)	Date of exemption from the Commission	Number of examination periods granted for exemption from the Commission

\*Duty 1 = Reception and transmission of orders in relation to one or more financial instruments

Duty 2 = Execution of orders on behalf of clients

Duty 3 = Dealing on own account

Duty 4 = Portfolio management

Duty 5 = Investment advice

Duty 6 = Underwriting of financial instruments or/and placing of financial instruments on a firm commitment basis