

EUにおける金融商品(Financial Instruments)

原語		日本語訳	
transferable securities	shares in companies and other securities equivalent to shares in companies	譲渡可能証券	会社の株式及びその同等物
	bonds and other forms of securitized debt which are negotiable on the capital market		債券その他の資本市場で取引され得る証券化された債務
	any other securities normally dealt in giving the right to acquire any such transferable securities by subscription or exchange or giving rise to a cash settlement excluding instrument of payment		その他の証券で、通常、払込若しくは交換により譲渡可能証券を取得する権利を付与するもの、又は、差金決済を生じるもの、ただし、支払手段に該当するものを除く
Money-market instruments		短期金融市場商品	
Units in collective investment undertakings		集団的投資会社のユニット	
Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, or other derivatives instruments, financial indices or financial measures which may be settled physically or in cash;		オプション、先物、スワップ、先渡取引契約、及び、その他のデリバティブ取引(証券・為替・利率・利回り又は他のデリバティブ商品・金融指数・金融指標に関するものであって、現物又は現金で決済されるもの)	
Options, futures, swaps, forward rate agreements and any other derivative contracts relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event)		オプション、先物、スワップ、先渡取引契約、及び、現金決済しなければならない、または当事者の一方が現金決済の選択権を持つ(債務不履行その他契約終了事象の理由による場合を除く)商品関連のその他デリバティブ	
Options, futures, swaps, and any other derivative contract relating to commodities that can be physically settled provided that they are traded on a regulated market and/or an MTF		オプション、先物、スワップ、及び、現物決済が可能な商品関連のその他デリバティブ契約で規制市場または多角的取引システム(MTF)上で取引されているもの	
Options, futures, swaps, forwards, and any other derivative contracts relating to commodities, that can be physically settled not otherwise mentioned in C.6(previous Clause) and not being for commercial purposes, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are cleared and settled through recognised clearing houses or are subject to regular margin calls		オプション、先物、スワップ、先渡取引契約、及び、その他商品関連のデリバティブ契約で、現物決済が可能でC(6)に言及されていないもので、商業目的ではなく、認可清算機関を通じて決済される、または定常的な追加証拠金の要求対象であるといった点に鑑みて、その他デリバティブ金融商品の特性を有するもの	
Derivative instruments for the transfer of credit risk		信用リスクの移転のためのデリバティブ商品	
Financial contracts for differences		差金契約	
Options, futures, swaps, forward rate agreements and any other derivative contracts relating to climatic variables, freight rates, emission allowances or inflation rates or other official economic statistics that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event) as well as any other derivative contracts relating to assets, rights, obligations, indices and measures not otherwise mentioned in this Section, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are traded on a regulated market or an MTF, are cleared and settled through recognised clearing houses or are subject to regular margin calls		オプション、先物、スワップ、先渡取引契約、及び、その他気候変動、輸送料、排出権割当、インフレ率、他のオフィシャルな経済統計に関するものであって、現金で決済しなければならないもの、又は当事者の一方が現金決済の選択権を持つ(債務不履行その他契約終了事象の理由による場合を除く)デリバティブ取引、及び、ここで定められていない資産・権利・義務・指数・指標に関するデリバティブ取引であって、規制市場または多角的取引システム(MTF)上で取引されているか、認可清算機関を通じて決済される、または定常的な追加証拠金の要求対象であるといった点に鑑みて、その他デリバティブ金融商品の特性を有するもの	

Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments amending Council Directives 85/611/EEC and 93/6/EEC and Directive 2000/12/EC of the European Parliament and of the Council and repealing Council Directive 93/22/EEC

EUにおける投資サービス業務 (List of services and activities)

原語		日本語訳	
Investment services and activities	Reception and transmission of orders in relation to one or more financial instruments	投資サービス	一つないし複数の金融商品に関する注文の受理及び伝達
	Execution of orders on behalf of clients		顧客のための注文執行
	Dealing on own account		自己勘定売買(ディーリング)
	Portfolio management		ポートフォリオの運用
	Investment advice		投資助言
	Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis		金融商品の引受及び/又は全額買取による販売
	Placing of financial instruments without a firm commitment basis		全額買取によらない販売
	Operation of Multilateral Trading Facilities		多角的取引システム(MFT)の運営
Ancillary services	Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management	付随サービス	カストディアン業務及び現金/担保管理業務のような関連サービスを含む、顧客勘定のための金融商品の保護預り及び管理
	Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction		投資家が1以上の金融商品の取引を行うために、その取引に介在する会社が行う信用の供与又は貸付
	Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings		企業の資本構成・事業戦略及び関連事項に関する助言、企業の合併・買収に関する助言及びサービス
	Foreign exchange services where these are connected to the provision of investment services		投資サービスの提供に関連する外国為替業務
	Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments		投資調査及び財務分析又は金融商品の取引に関するその他の形式での推奨
	Services related to underwriting		引受に関連するサービス
	Investment services and activities as well as ancillary services of the type included under Section A or B of Annex 1 related to the underlying of the derivatives included under Section C - 5, 6, 7 and 10 - where these are connected to the provision of investment or ancillary services		投資サービス又は付随サービスの提供に関連して提供される、第C節5,6,7,10項に含まれるデリバティブ取引の原資産に関連する、付属規定第1セクション第A節または第B節に規定される投資サービス及び付随サービス 注: 第C節5,6,7,10に含まれる原資産 有価証券・通貨・金利・利率・その他デリバティブ取引・金融指標・金融要因・商品・気候変動・輸送料・排出権割当、インフレ率、他のオ フィシャルな経済統計、等

Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments amending Council Directives 85/611/EEC and 93/6/EEC and Directive 2000/12/EC of the European Parliament and of the Council and repealing Council Directive 93/22/EEC