

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