



Financial Services Act 2008 – Licence

Canaccord Genuity Wealth (International) Limited

Conditions

The following conditions are imposed in respect of the regulated activities undertaken.

1. The licenceholder's regulated activities are restricted to the following:
 - Class 2 - investment business - sub-classes (1) to (7) inclusive; and
 - Class 3 - services to collective investment schemes - sub-classes (6) and (7).

2. The licenceholder shall comply with the rules laid down by the Guernsey Financial Services Commission in respect of financial resources, financial returns and financial records.

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Chief Executive

Isle of Man Financial Services Authority

18 September 2017



Canaccord Genuity Wealth (International) Limited

Exceptions and Modifications

Pursuant to section 7(3)(b) of the Financial Services Act 2008, the Rule Book applies with the following exceptions:

Exceptions

Part 2 – Financial Resources and Reporting

- (a) Rules 2.2 to 2.10 inclusive
- (b) Rule 2.16 - Contents of annual financial return
- (c) Rule 2.25 - Solvency
- (d) Rules 2.27 to 2.29 inclusive

Part 5 – Audit

- (a) Rule 5.16 - Auditor's letter
- (b) Rule 5.18 – Clients' Assets Report

Part 8 – Risk Management and Internal Control

- (a) Rule 8.21 (3)(e) - Compliance Officer resident in the Island
- (b) Rule 8.23(2) - Compliance Officer responsible for a Clients' Assets Report being prepared annually in accordance with the Authority's specifications

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Chief Executive

Isle of Man Financial Services Authority

18 September 2017