

# Rossborough Financial Services Limited

## Schedule I - Conditions

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

1. The licenceholder is permitted to conduct the following regulated activities:-
  - Class 2 - investment business - sub-classes (3), (6) and (7)
2. The licenceholder is not permitted to hold client money or client assets.
3. The licenceholder shall comply with the rules laid down by the Jersey Financial Services Commission in respect of financial resources, financial returns, financial records and audit.

\_\_\_\_\_ Chief Executive

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7<sup>th</sup> January 2010

# Rossborough Financial Services Limited

## Schedule 2 - Exceptions and Modifications

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

### Part 2 – Financial Resources and Reporting

- (a) Rules 2.3 to 2.11 inclusive
- (b) Rule 2.19 - Contents of annual financial return
- (c) Rule 2.31 - Solvency
- (d) Rules 2.33 to 2.35 inclusive

### Part 5 – Audit

- (a) Rule 5.19 - Application
- (b) Rule 5.20 - Content of audit report

### Part 8 – Risk Management and Internal Control

- (a) Rule 8.18 (3)(e) - Compliance Officer resident in the Isle of Man

\_\_\_\_\_ Chief Executive

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7<sup>th</sup> January 2010