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10/10/2016

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Additional Information

Level 1 Regulation
Markets in Financial Instruments Regulation (MiFIR) Regulation (EU) No 600/2014 - Investor Protection and Intermediaries

Topic
Investment advice on an independent basis

Subject Matter
Investment advice on an independent basis

Question
Could a firm still hold itself out as being independent where it assesses and compares a sufficient range of financial instruments available (which are not limited to financial instruments issued or provided by the firm itself or by entities having close links) but that the outcome of such an assessment in a considerable number of cases is that the firm

recommends financial instruments to its clients which are issued or provided by the firm itself or by entities having close links?