



Finanssivalvonnan myöntämät poikkeukset liputusvelvollisuudesta

Alla on lueteltu Finanssivalvonnan (entinen Rahoitustarkastus) arvopaperimarkkinalain (746/2012, AML) 9 luvun 8 c §:n ja sitä edeltäneiden säännösten nojalla myöntämät poikkeukset liputusvelvollisuudesta.

Poikkeukset koskevat Euroopan talousalueen ulkopuolella toimiluvan saaneiden rahastoyhtiöiden, yhteissijoitusyritysten ja sijoituspalvelun tarjoajien emoyrityksiä. Tällaisiin emoyrityksiin ei sovellu AML 9 luvun 8 a mukainen ilmoitusmenettely. Finanssivalvonta voi myöntää tällaisissa tapauksissa poikkeuksen liputusvelvollisuudesta, mikäli poikkeukselle (AML:ssa) asetetut edellytykset täyttyvät.

Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Crédit Agricole S.A.	Amundi Smith Breeden, LLC Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	18.8.2017	FIVA 11/02.05.11/2017
Amundi S.A.	Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	16.8.2017	FIVA 8/02.05.11/2017
Amundi Asset Management S.A.	Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	16.8.2017	FIVA 8/02.05.11/2017
Guggenheim Capital, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Partners, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Manager Holdco, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Manager, Inc.	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013



Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Franklin Resources, Inc.	Franklin Advisors, Inc. Franklin Templeton Portfolio Advisors, Inc. Franklin Mutual Advisers, LLC Templeton Investment Counsel, LLC Franklin Templeton Investments Corp. Fiduciary Investment Management International, Inc. Franklin Templeton Investments (Asia) Limited Templeton Global Advisors Limited Franklin Templeton Institutional, LLC	28.3.2012	FIVA 2/02.05.11/2012 (korvaa 16.2.2010 an- netun päätöksen 4/207/2010)
CBRE GROUP, INC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Services, Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CB/TCC,LLC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CB Holdco,Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE, Inc.	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion REI Holding, Inc.	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion CRA Holdings, Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion Securities Holdings,LLC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
Madison Dearborn Partners LLC	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008



23.8.2017

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Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Madison Dearborn Partners V-A&C L.P.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
Windy City Investments Holdings, LLC	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
Windy City Investments, Inc.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008



Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Nuveen Investments, Inc.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
NWQ Holdings, LLC	NWQ Investment Management Company, LLC Tradewinds Global Investors LLC	23.12.2008	13/230/2008
Nuveen Investment Solutions, Inc.	Nuveen HydePark Group, LLC	23.12.2008	13/230/2008
Allianz SE (Germany)	RCM Capital Management LLC (U.S.) Pacific Investment Management Company LLC(U.S.) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S.) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	5/230/2008
Allianz Global Investors AG (Germany),	RCM Capital Management LLC (U.S.) Pacific Investment Management Company LLC(U.S.) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S.) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008, 9/230/2008
RCM US Holdings LLC (U.S.)	RCM Capital Management LLC (U.S.)	8.12.2008	9/230/2008



Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Allianz Global Investors US Holdings Inc (U.S.),	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors of America LLC (U.S.),	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors U.S .Holding LLC (U.S.),	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz PacLife Partners LLC (U.S.)	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008



Emoyhtiö	Rahastoyhtiö, yhteissijoitusyritys tai arvopaperinvälittäjä	Päätöspäivä	Diaarinumero
Allianz Global Investors US Partners GP (U.S.)	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors of America LP (U.S.)	Pacific Investment Management Company LLC(U.S) Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.) NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors US Retail LLC (U.S.)	Allianz Global Investors Managed Accounts LLC (U.S.) Allianz Global Investors Fund Management LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors Management Partners LLC (U.S.)	NFJ Investment Group L.P. (U.S) Nicholas –Applegate Capital Management LLC (U.S.) Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Allianz Global Investors New York Holdings LLC (U.S.)	Oppenheimer Capital LLC (U.S.)	8.12.2008	8/230/2008
Nicholas-Applegate Holdings LLC (U.S.)	Nicholas –Applegate Capital Management LLC (U.S.)	8.12.2008	8/230/2008
The Capital Group Companies, Inc.	Capital Research and Management Company Capital Research Global Investors Capital World Investors	12.9.2007	13/230/2007