

Cross-border Solutions

COUNTRY MANUALS COVERAGE

EUROPE Albania, Andorra, Austria, Belarus, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Gibraltar, Guernsey, Hungary, Iceland, Ireland, Isle of Man, Italy, Jersey, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Monaco, Montenegro, Netherlands, Norway, North Macedonia, Poland, Portugal, Romania, Russia, San Marino, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Ukraine, United Kingdom, Vatican City

AMERICA Anguilla, Antigua and Barbuda, Argentina, Aruba, Bahamas, Barbados, Belize, Bermuda, Bolivia, Brazil, British Virgin Islands, Canada, Cayman Islands, Chile, Colombia, Costa Rica, Cuba, Curacao, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Honduras, Jamaica, Nicaragua, Paraguay, Panama, Peru, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago, Turks and Caicos Islands, United States, Uruguay, Venezuela

ASIA Abu Dhabi, Armenia, Azerbaijan, Bahrain, Bangladesh, Bhutan, Brunei, Cambodia, China, Cyprus, DIFC, Georgia, Hong Kong, India, Indonesia, Iran, Israel, Japan, Jordan, Kazakhstan, Kuwait, Lebanon, Macao, Malaysia, Maldives, Mongolia, Myanmar, Pakistan, Palestinian Territory, Philippines, Qatar, Saudi Arabia, Singapore, South Korea, Sri Lanka, Oman, Taiwan, Thailand, Turkey, United Arab Emirates, Uzbekistan, Vietnam, Yemen

AFRICA Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic, Chad, Democratic Republic of Congo, Egypt, Equatorial Guinea, Ethiopia, Gabon, Ghana, Guinea, Guinea-Bissau, Ivory Coast, Kenya, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mayotte, Morocco, Mozambique, Niger, Nigeria, Reunion, Rwanda, Senegal, Seychelles, South Africa, Swaziland, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe

OCEANIA Australia, Cook Islands, French Polynesia, Marshall Islands, New Caledonia, New Zealand

Jurisdiction not yet covered? Please contact us at info@brpsa.com

COUNTRY MANUALS PRODUCTS

- Rules applicable to the distribution of all types of financial products
- Rules applicable to the placement of products in discretionary or advisory mandates
- Information on the mandatory documentation to be provided to the investor
- Practice of local competent authorities

COUNTRY MANUALS EAM

- Summary of all applicable regulations to an EAM’s financial activities
- Cross-border rules related to marketing, negotiation and performance of investment activities and services
- Introduction of custodian banks
- Practice of local competent authorities

COUNTRY MANUALS TAX INVESTMENT

- A comprehensive overview of the tax regulations and practices applying to private cross-border clients
- Information designed to assist EAMs in the allocation of investment portfolios (tax impact of the placed product for the client)
- Easy Tax Suitability Ratings by product class (incl. Crypto Assets)

Please contact us for a tailored solution that fits your needs:



BRP'S DIGITAL SOLUTIONS

e-Learning

- Tailored to your needs
- Always up-to-date with Country Manuals
- Built-in certification



inApp

Digitized Solution to exploit the content of the COUNTRY MANUALS

- Web application based on BRP cross-border data
- Responses to cross-border compliance are available in three clicks
- No installation and from any device
- Underlying rules solve even complex situations

Country Manual Independent Portfolio Manager/Advisor (EAM)							
Germany out of Company's country of establishment - v5							
Scope							
Local rules, as summarized in this document, apply to a foreign, unlicensed Independent Financial Advisor's (the "company" or "foreign company") financial services directed towards or performed in Germany, irrespective of the prospect/client's residence. While in principle these rules apply irrespective of the company's country of establishment, this document does not cover the following: EEA companies which have passported their services into Germany, Third-country companies which make use of the ordinary exemption procedure (Freistellung). The present Template assumes that financial products which are offered are duly registered (authorised/notified) in Germany or that the offer is covered by the private placement rules or exempted from the obligation to be registered (authorised/notified).							
Definition of "Client"							
The distinction between qualified and non-qualified prospects/clients has no effect on the solicitation or provision of a foreign company's financial services.							
Activity	Client	RM and Prospect/Client in Target Ctry		RM in Company's Ctry and Prospect/Client in Target Ctry		RM and Prospect/Client in Company's Ctry	
Prospecting Phase							
On Company's Initiative							
Socialising	Non-Q	+	YES	+	YES	+	YES
	Qualified	+	YES	+	YES	+	YES
Providing a Business Card	Non-Q	+	YES	+	YES	+	YES
	Qualified	+	YES	+	YES	+	YES
Presenting the Company in General Terms	Non-Q	+	Grey zone/NO	+	Grey zone/NO	+	YES
	Qualified	+	Grey zone/NO	+	Grey zone/NO	+	YES
Providing the Company's Annual Report and Press Reviews	Non-Q	+	Grey zone/NO	+	Grey zone/NO	+	YES
	Qualified	+	Grey zone/NO	+	Grey zone/NO	+	YES
Providing Marketing Brochures on the Company	Non-Q	+	Grey zone/NO	+	Grey zone/NO	+	YES
	Qualified	+	Grey zone/NO	+	Grey zone/NO	+	YES
Presenting the Company's Investment Advisory Services	Non-Q	+	NO	+	NO	+	YES
	Qualified	+	NO	+	NO	+	YES
Providing Documentation on the Company's Investment Advisory Services	Non-Q	+	NO	+	NO	+	YES
	Qualified	+	NO	+	NO	+	YES
Presenting the Company's Discretionary Asset Management Services	Non-Q	+	NO	+	NO	+	YES
	Qualified	+	NO	+	NO	+	YES
Providing Documentation on the Company's Discretionary Asset Management Services	Non-Q	+	NO	+	NO	+	YES
	Qualified	+	NO	+	NO	+	YES
On Prospect's Initiative – Reverse Solicitation							
Socialising	Non-Q	+	YES	+	YES	+	YES
	Qualified	+	YES	+	YES	+	YES
Providing a Business Card	Non-Q	+	YES	+	YES	+	YES
	Qualified	+	YES	+	YES	+	YES
Presenting the Company in General Terms	Non-Q	+	Grey zone/YES	+	YES	+	YES
	Qualified	On an occasional basis.		+		+	
		Grey zone/YES		+	YES	+	YES
	Providing the Company's Annual Report and Press Reviews	Non-Q	+	Grey zone/YES	+	YES	+
Qualified		On an occasional basis.		+		+	
	Grey zone/YES		+	YES	+	YES	