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Mizuho DKB Brokerage

17. May 2018 | [Investor Warning](https://www.fma.gv.at/en/category/news-en/investor-warning/)

Pursuant to Article 92 para. 11 first sentence of the Securities Supervision Act of 2018 (WAG 2018, Wertpapieraufsichtsgesetz 2018), the Austrian Financial Market Authority (FMA) may disclose to the general public by publication on the Internet, in the official gazette “Amtsblatt zur Wiener Zeitung”, or in any other newspaper with nationwide circulation, that a particular natural or legal person is not entitled to carry out certain investment services (Article 3 para. 2 nos. 1 to 4 WAG 2018), provided that said person has given cause for such action and informing the general public is deemed necessary and reasonable with regard to possible disadvantages of the person concerned.

By publication in the official gazette “Amtsblatt zur Wiener Zeitung” of 17 May 2018, the FMA hereby informs, that

Mizuho DKB Brokerage

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is not entitled to provide investment services in Austria that require a licence. The provider is therefore not permitted to provide commercial investment advice in relation to financial instruments (Art. 3 para. 2 no. 1 WAG 2018) as well as portfolio management services by managing portfolios for individual customers with a discretion in the form of power of attorney of the customer, provided that the customer portfolio contains one or more financial instruments pursuant to (Art. 3 para. 2 no. 2 WAG 2018).

« [FMA presents its 2017 Annual Report: ten years after the failure of Lehman Bros. Austria's financial institutions are now set up in a stable and shock-resistant way.](https://www.fma.gv.at/en/fma-presents-its-2017-annual-report-ten-years-after-the-failure-of-lehman-bros-austrias-financial-institutions-are-now-set-up-in-a-stable-and-shock-resistant-way/)

[\(https://www.fma.gv.at/en/fma-presents-its-2017-annual-report-ten-years-after-the-failure-of-](https://www.fma.gv.at/en/fma-presents-its-2017-annual-report-ten-years-after-the-failure-of-lehman-bros-austrias-financial-institutions-are-now-set-up-in-a-stable-and-shock-resistant-way/)

[lehman-bros-austrias-financial-institutions-are-now-set-up-in-a-stable-and-shock-resistant-](https://www.fma.gv.at/en/fma-presents-its-2017-annual-report-ten-years-after-the-failure-of-lehman-bros-austrias-financial-institutions-are-now-set-up-in-a-stable-and-shock-resistant-way/)

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