

Chapter 1

Handbook requirements for service companies

1.1 Application and Purpose

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- This special guide is for *service companies*. Its purpose is to help *service companies* find their way around the *Handbook* by setting out which parts of it apply to them.
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- Service companies* are *firms* whose *regulated activities* are restricted to *making arrangements with a view to transactions in investments* and *agreeing to carry on that regulated activity*. They are, in the main, technology companies who provide order routing, post-trade processing, or other services to market participants which assist them to *deal in investments* or *arrange (bring about) deals in investments* among themselves. A light-touch regulatory regime applies to *service companies* as set out in this Special guide.