



General Regulations

Regulations:

TradeTech Alpha Limited ("TTA") is authorised and regulated by the Financial Conduct Authority ('FCA') to conduct investment business in the United Kingdom (UK) under Firm Reference Number 607305. TTA is incorporated in England and Wales and registered with Companies House in the UK, under company number 08663212.

Financial Conduct Authority (FCA):

The Financial Conduct Authority is an independent non-governmental body accountable to the UK Treasury. The FCA regulates the financial services industry in the UK. The FCA has been given a wide range of rule-making, investigatory and enforcement powers in relation to UK financial services firms in order to meet their three statutory objectives:

- To secure an appropriate degree of protection for consumers.
- To protect and enhance the integrity of the UK financial system.
- To promote effective competition in the interests of consumers

Capital Adequacy:

It is compulsory for all companies that are authorised and regulated by the FCA to meet strict financial standards including that of capital adequacy. FCA regulated financial firms are required to submit financial reports to the regulators on a regular basis. The FCA has the right to fine and/or terminate a company's regulatory status for any violation. The regulations require TTA to:

- Maintain a sufficient capital to offset the company's expenses and potential fluctuations in the company's currency positions in excess of the amount required to cover all clients' deposits;
- Exclude any debt obligations to the company as part of this capital; and
- Report a detailed annual audit performed by an independent financial auditor.

Segregation of funds:

In order to prevent the use of Clients' funds by a regulated financial firm for its own account, the FCA require TTA to hold its Clients' money in separate accounts away from any account belonging to us. TTA not only conform to the segregation of funds rule but also does its due diligence in its selection of where clients' funds should be held. Currently we hold our clients' funds in top-tier banks in the UK such as Barclays.

The Financial Ombudsman Service ('FOS'):

The role of the FOS takes place when UK financial firms cannot reach into agreement with their clients about a complaint. The FOS is completely independent and impartial since its service is free of charge. The FOS analyses the facts of both parties in order to take action. Clients are not obliged to accept any decision made by the FOS and can seek redress in law if desired. However, if a client does accept the FOS' decision, it is binding on both the Client and TTA. If the FOS decides that TTA has treated a Client fairly, the complaint will not be upheld and an explanation will be provided to the Client. However, if the FOS decides that TTA did not treat the Client fairly and as a result he/she lost money, TTA may be ordered to take remedial action. The FOS look at complaints across a wide range of financial matters, answers over a million enquiries a year, and deals with more than 250,000 disputes. The FOS may not be available to all Clients of TTA. For further details, you can visit the FOS website [here](#).

The Financial Services Compensation Scheme ("FSCS")

The Financial Services Compensation Scheme (FSCS) is the compensation fund of last resort for customers dealing with authorised financial firms in the United Kingdom. In the unlikely event that TTA goes into default and therefore cannot meet its financial obligations, a client should submit his/her claim to the FSCS. The scheme protects eligible complainants up to £50,000. For more information about the different rules and limits that apply to different types of claims kindly visit the [FSCS website](#).