



CMC Markets UK plc

Reference number: 173730

This firm is authorised for specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.

Who is this firm?

Firm details

Check details about this firm's place of business, contact details, trading names, etc.



The FCA expects that a firm will confirm at least annually that these details are accurate.

Details last confirmed: 03 Aug 2020

Address

133 Houndsditch
London
EC3A 7BX
UNITED KINGDOM

Phone

4402071708200

Email

info@cmcmarkets.co.uk

Website

www.cmcmarkets.co.uk

Trading names

This firm trades under **1 trading** names

Firm reference number

173730

Registered company number

02448409

Firm status

Check this firm's status and any additional regulatory information.



Status

Authorised

Since 01/12/2001

This firm is authorised for specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.

Type

Regulated

How are customers protected?

Protections and support

Understand the protections you have when dealing with this firm, and how to make a complaint.



Customer protections and the Register

Regulated activities performed by regulated firms or individuals are covered by a range of protections. These protections are not through the FCA but are through the Financial Ombudsman Service and the Financial Services Compensation Scheme.

The protections available relate to specific regulated activities, products and investment types. We recommend that you check below for the activities that this firm has FCA and/or PRA permission to provide before going ahead. You should also contact the firm and ask them to confirm the specific protections available to you.

The Financial Ombudsman Service may be able to consider a dispute with this firm

Regulated activities that this firm has permissions for may be covered by the Financial Ombudsman Service. If you have complained to the firm and they haven't responded satisfactorily, you can contact the **Financial Ombudsman (<https://www.financial-ombudsman.org.uk/>)** for help.

The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails

Regulated activities that this firm has permissions for may be covered by the Financial Services Compensation Scheme. If this firm has failed, you can contact the **Financial Services Compensation Scheme (<https://www.fscs.org.uk/>)** for help.

If you have a complaint about a firm

First try to contact the firm directly. In most circumstances, a firm must reply within 8 weeks, or 15 days for payment services such as bank deposits, direct debits or online payments.

If you are concerned you have been scammed, contact **FCA Contact Centre (<https://fca.org.uk/contact>)** and **Action Fraud (<https://www.actionfraud.police.uk/>)** immediately.

Complain to the firm



Neil Vinall



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UNITED KINGDOM



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<https://->

Report to the FCA

If you have concerns about a firm listed on the Register, **contact the FCA directly.**
(<https://www.fca.org.uk/contact>)

If you suspect you have been contacted by an unauthorised firm or individual carrying out an FCA-regulated activity, report it to us using **this form.** (**<https://www.fca.org.uk/report-scam-unauthorised-firm-individual>**)

Help using the Register

If you have any concerns or difficulties using the Register you can contact the FCA and we will talk you through the record and answer any queries you may have.

What can this firm do in the UK?

Restrictions

Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do.



Client Money

This firm must protect the money it holds and/or controls on behalf of customers. It cannot lend this money or use it to finance its own business.

Specific requirements may change this firm's ability to hold and/or control client money – see below for details.

Activities and services

Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm.



What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should **contact the FCA.** (<https://www.fca.org.uk/contact>).

Pensions



Arranging (bringing about) deals in investments



LIMITATIONS

Investment Type

Binary Bet
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Personal pension scheme
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Spread Bet

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Binary Bet
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Personal pension scheme
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Spread Bet

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

 Investments



Arranging (bringing about) deals in investments

LIMITATIONS



Investment Type

Binary Bet
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)

Option (excluding a commodity option and an option on a commodity future)
Personal pension scheme
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Spread Bet

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Dealing in investments as agent

LIMITATIONS



Investment Type

Binary Bet
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Spread Bet

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Limitation

Rights/interests - cont ltd to cont based inv

Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Dealing in investments as principal

LIMITATIONS



Investment Type

Binary Bet
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share
Spread Bet

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Limitation

Rights to or interests in (both).

Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments

LIMITATIONS



Customer Type

Eligible Counterparty

Professional

Retail (Investment)

Investment Type

Binary Bet

Commodity Future

Commodity option and option on commodity future

Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)

Future (excluding a commodity future and a rolling spot forex contract)

Option (excluding a commodity option and an option on a commodity future)

Personal pension scheme

Rights to or interests in investments (Contractually Based Investments)

Rights to or interests in investments (Security)

Rolling spot forex contract

Spread Bet

Limitation

Rights to or interests in (both).

Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Other activities



Agreeing to carry on a regulated activity

LIMITATIONS



Limitation

Limited to carry on regulated activities.
The firm can only agree to carry on the regulated activities specified in this Notice.

Waivers, discretions, and exclusions

Current waivers, discretions, and exclusions we hold for this firm.



Waivers and discretions

A firm can apply for a waiver (or change) from our rules or, in some situations, certain discretions set out in articles with European Directives. This table shows the current waivers and discretions we currently hold for this firm.

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Show all results

Showing 1 record out of 1

Waivers/Discretions	Rule/Article No.
A5065128P.pdf (pdf / 0.087MB)	CRR Article 113(6)

Results per page

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Show all results

Who is involved with activities at this firm?

Individuals

Individuals currently and previously involved in regulated activities at this firm.



You should check the details of any FCA approved individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record. We intend by April 2021 to have completed publishing the information of all individuals certified and assessed by firms under the Senior Managers and Certification Regime on the FS Register. Until this point you should contact the firm directly to confirm the details of individuals carrying out customer function roles.

Current

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Showing 6 records out of 6

Name	Individual reference number	Status	Role
<u>James Stuart Richards</u>	JSR01116	Approved by regulator	SMF9 Chair of the Governing Body
<u>Sheena Kanabar</u>	SXK02905	Approved by regulator	SMF16 Compliance Oversight
<u>Peter Andrew Cruddas</u>	PAC01129	Approved by regulator	SMF3 Executive Director SMF1 Chief Executive
<u>David Edward Walker-Sherriffs</u>	DXW15469	Approved by regulator	SMF17 Money Laundering Reporting Officer (MLRO)
<u>Euan Marshall</u>	EXM17919	Approved by regulator	SMF3 Executive Director
<u>David John Fineberg</u>	DJF01101	Approved by regulator	SMF3 Executive Director

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Showing 10 records out of 305

Name	Individual reference number	Role
<u>James Stuart Richards</u>	JSR01116	CF2 Non Executive Director
<u>Ronald Gareth Derbyshire</u>	RGD01078	CF10 Compliance Oversight
<u>Patrick Alexander Latchford</u>	PAL01080	CF16 Significant Mgt (Desgntd Investment Business)
		CF29 Significant management
<u>William James Henry Ross-Hurst</u>	WJR01030	CF26 Customer Trading
<u>Geoffrey Langham</u>	GJL01045	CF16 Significant Mgt (Desgntd Investment Business)
		CF1 Director
		CF29 Significant management
		CF26 Customer Trading
		CF30 Customer
		CF21 Investment Adviser
<u>Malcolm Graham McCaig</u>	MGM01071	CF2 Non Executive Director
<u>Simon John Waugh</u>	SJW01265	CF2 Non Executive Director
<u>Roger Niall Alan Hynes</u>	RNH01026	CF21 Investment Adviser
		CF8 Apportionment and Oversight
		CF1 Director
<u>Fraz Ahmed Khan</u>	FAK01017	CF30 Customer

Name	Individual reference number	Role
<u>David John Fineberg</u>	DJF01101	CF26 Customer Trading CF1 Director CF21 Investment Adviser CF29 Significant management CF30 Customer

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Show all results

What can this firm do in the European Economic Area?

Passport out

Regulated activities this firm can offer in other EEA countries.



A 'passport' enables an authorised firm to provide financial products or services, set up a base, or run its permitted activities in another country in the European Economic Area (EEA). This includes where a firm regulated in another EEA country passports into the UK.

Select country

AUSTRIA 

Country

AUSTRIA

Directive

Markets in Financial Instruments Directive

Passport type

Service

A(1) Reception and transmission of orders in relation to one or more financial instruments

Investment Types

A(2) Execution of orders on behalf of clients

Investment Types

A(3) Dealing on own account

Investment Types

B(4) Foreign exchange services where these are connected to the provision of investment services

Investment Types

Country

AUSTRIA

Directive

Markets in Financial Instruments Directive

Passport type

Branch

A(1) Reception and transmission of orders in relation to one or more financial instruments

Investment Types

A(2) Execution of orders on behalf of clients

Investment Types

A(3) Dealing on own account

Investment Types

B(4) Foreign exchange services where these are connected to the provision of investment services

Investment Types

Who is this firm connected to?

Appointed representatives and agents

This firm is responsible for regulated activities of the firms listed below.



This table lists the Appointed Representatives and Payment services / Electronic money agents connected with this firm. You can also see if they have Tied agent or EEA Tied agent status. In each case, the principal is responsible for the activities carried out by its appointed representatives / agents on its behalf. An agent or Appointed Representative may act of behalf of more than one principal firm.

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Name	Insurance Distribution	Tied Agent	EEA Tied Agent	Firm reference number	Effective from	Effective to
<u>32Red Plc</u>	No	No	No	494919	21 Jan 2009	13 Oct 2010
<u>Cantos Communications Limited</u>	No	No	No	483357	15 May 2008	15 Sep 2010
<u>City AM Limited</u>	No	No	No	480803	26 Mar 2008	26 Mar 2010
<u>Clickthemarkets.com.Ltd</u>	No	No	No	484371	09 Jun 2008	28 Aug 2009
<u>Clickthemarkets.com.Ltd</u>	No	No	No	484371	16 Sep 2009	08 Apr 2010
<u>Digital Look Ltd</u>	No	No	No	467277	30 Apr 2007	24 Jan 2011
<u>EquityTrades4u Limited</u>	No	No	No	486104	15 Jul 2008	17 Jun 2010
<u>Express Newspapers Plc</u>	Yes	No	No	455524	12 Jun 2008	02 Dec 2009
<u>Ezeetrader Markets Limited</u>	No	No	No	491742	21 Nov 2008	17 Jun 2010
<u>FairFX PLC</u>	Yes	No	No	488396	04 Sep 2008	06 Aug 2010

Results per page

10 **Show all results****Regulators**

Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.



Results per page

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Showing 5 records out of 5

Regulator	Effective from	Effective to
Australian Stock Exchange	01 Feb 2002	01 Dec 2002
Financial Conduct Authority	01 Apr 2013	
Financial Services Authority	01 Dec 2001	31 Mar 2013
National Futures Association	21 Dec 2002	10 Aug 2005
Securities and Futures Authority	01 Apr 1997	30 Nov 2001

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