

Stratos Markets Limited

Reference number: 217689

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.

There has been disciplinary or regulatory action involving this firm.

▲ **Some activities by this firm may not be protected**

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS). However, this is not always the case and these organisations may not cover some of this firm's activities. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the **Financial Ombudsman Service's website (<https://www.financial-ombudsman.org.uk/consumers/complaints-can-help/>)** and the **FSCS's website (<https://www.fscs.org.uk/what-we-cover/>)** about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

Notices

Disciplinary / regulatory action

This firm has been subject to disciplinary or regulatory action. That action may be historic or it may currently affect the regulated activities they are permitted to do. Check the record and contact the FCA if you need further help.

See the disciplinary or regulatory action involving this firm.

Clones of this firm

Individuals are using the details of this firm to suggest they work for the genuine firm. We call this a **cloned firm** and it is typically part of a scam.

To contact the genuine firm you should call the switchboard number listed on the Register - and contact us if it is not provided. Find out more about the clone firm(s):

Crypt Mill Broker Limited (clone of FCA authorised firm)

Added to the FS Register on 09 Dec 2019.

FXC Markets (Clone of FCA authorised firm)

Added to the FS Register on 05 Apr 2018.

EOCFX (clone of FCA authorised firm)

Added to the FS Register on 05 Oct 2021.

FXCM Germany (clone of FCA authorised firm)

Added to the FS Register on 20 Jun 2019.

Forex Capital Markets, Ltd. (Clone of FCA authorised firm)

Added to the FS Register on 12 Mar 2014.

FXCM International Finance Group (Clone of FCA Authorised Firm)

Added to the FS Register on 22 Aug 2017.

Who is this firm?

Firm details

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

The 'firm details' displayed on the register have been confirmed as correct.

Firms are required to confirm that the information shown is correct at least annually.

Address

125 Old Broad Street
London
EC2N 1AR
UNITED KINGDOM

Phone

+4402073984050

Email

compliance@fxcm.com

Website

www.fxcm.com/uk/www.tradu.com/uk

Firm reference number

217689

Registered company number

04072877

Firm status

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

Status

Authorised

Since 27/05/2003

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

Trading names



This firm currently trades under 4 trading names.

Current names

Showing 4 results out of 4

Name	Type of name (Registered, Trading)	Effective from
Tradu	Trading	22 Nov 2023
Stratos Markets Limited	Registered	18 Sept 2023
FXCM UK	Trading	11 Sept 2023
FXCM	Trading	07 Jun 2011

Previous names

Showing 10 results out of 13

Name	Type of name (Registered, Trading)	Effective from	Effective to
Forex Capital Markets	Trading	18 Jan 2023	11 Sept 2023
Fuhuistocks	Trading	10 Dec 2019	18 Jan 2023
FXCMStocks	Trading	10 Dec 2019	18 Jan 2023
Forex Capital Markets Limited	Registered	03 Feb 2014	18 Sept 2023
FXCM Hellas	Trading	26 Mar 2013	26 Mar 2021
Stentor Group SA	Trading	18 Dec 2012	26 Mar 2021
CFD Trading	Trading	22 Nov 2011	26 Mar 2021
FXCM France	Trading	09 May 2011	26 Mar 2021
FXCM Germany	Trading	09 May 2011	26 Mar 2021
FXCM Hellas	Trading	09 May 2011	18 Dec 2012

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

The Register tells you the activities the FCA has given this firm permission to carry out. The Register can only give you general information about the help from other organisations if something goes wrong when dealing with this firm. The Register does not detail the activities that the firm undertakes that do not require FCA approval.

The Financial Ombudsman Service and the Financial Services Compensation Scheme (FSCS) are the main organisations who may be able to help if something goes wrong when dealing with this firm. The Financial Ombudsman Service may be able to resolve your complaint against this firm if the firm fails to deal with it properly. The FSCS may be able to provide compensation if this firm goes out of business owing you money.

The protection provided by the Financial Ombudsman Service and FSCS depends on the activity a firm is carrying out. There are also other conditions, such as needing to bring a complaint or claim within a set time period, that affect any protection you may have. The final decision to consider any specific complaint or claim is determined by the Financial Ombudsman Service or the FSCS. You should always check which activities are covered by these organisations before doing business with this firm.

The Financial Ombudsman Service may be able to consider a complaint about this firm

If this firm fails to deal with your complaint properly, you can ask the Financial Ombudsman Service to help. But it may not be able to consider complaints about all the firm's activities. The Financial Ombudsman Service has the final decision as to whether or not it will consider a specific complaint.

You can complain to the Financial Ombudsman Service about most regulated activities and some unregulated activities. The **Financial Ombudsman Service's website (<https://www.financial-ombudsman.org.uk/>)** has information about the type of activities you can complain about.

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

If this firm goes out of business owing you money, you can ask the Financial Services Compensation Scheme (FSCS) to help. FSCS protection only applies to claims in connection with some regulated activities. The FSCS has the final decision as to whether or not it will consider a specific claim. The **FSCS website (<https://www.fscs.org.uk/>)** gives you information on what it protects.

If you have a complaint about a firm

If you are concerned you've been scammed: consumers in England, Wales or Northern Ireland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Action Fraud (<https://www.actionfraud.police.uk/>)**; consumers in Scotland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Police Scotland**.

[\(<https://www.scotland.police.uk>\)](https://www.scotland.police.uk)

Complain to the firm

Joanna Wilcox

125 Old Broad Street
London
EC2N 1AR
UNITED KINGDOM

+4402073984050

compliance@fxcm.com

www.fxcm.com/uk/www.tradu.com/uk

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)**
[\(<https://www.fca.org.uk/contact>\)](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)** **[\(<https://www.fca.org.uk/report-scam-unauthorised-firm-individual>\)](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 can hold and can control client money

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

Financial promotions



Check if this firm has permission to approve financial promotions and what these permissions are.

What this information means

The law restricts who can promote financial services and products ('communicate financial promotions'). Firms or individuals ('persons') have to be authorised to do this, unless an authorised person has already approved the financial promotion or an exemption applies. This firm is an authorised person. This means it may be able to approve financial promotions for unauthorised persons in some circumstances. This section sets out the types of financial promotions this firm can approve.

Unless there is a **requirement** on this firm that says otherwise, then:

This firm can approve its own financial promotions as well as those of members of its wider group and, in certain circumstances, those of its appointed representatives.

If you have concerns about a financial promotion or would like to check that an authorised person has approved a financial promotion, please contact the authorised person who communicated or approved it.

If the financial promotion came from an unauthorised person, then the promotion may show the name of the authorised person who approved it or that firm's reference number (FRN).

Please note The Financial Ombudsman Service is unlikely to consider a complaint about the approval of a financial promotion. The Financial Services Compensation Scheme is unlikely to be able to consider claims that are solely about the communication or approval of financial promotions.

If you're worried or have a complaint about the firm, please check '[How are customers protected?](#)' section.

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.

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS). However, this is not always the case and these organisations may not cover some of this firm's activities. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the Financial Ombudsman Service's website and the FSCS's website about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

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 safeguarding and administration of assets

LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Personal pension scheme

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.

Causing dematerialised instructions to be sent

LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Personal pension scheme

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.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Personal pension scheme

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.

Sending dematerialised instructions



LIMITATIONS

Customer Type

Eligible Counterparty

Professional

Retail (Investment)

Investment Type

Personal pension scheme

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

Advising on investments (except on Pension Transfers and Pension Opt Outs)

LIMITATIONS

Customer Type

Eligible Counterparty

Professional

Retail (Investment)

Investment Type

Certificates representing certain security

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)

Debenture

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

Government and public security

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

Unit
Warrant

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.

Advising on P2P agreements

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Arranging (bringing about) deals in investments

LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
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)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
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
Unit

Warrant

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.

Arranging safeguarding and administration of assets



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
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)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
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
Unit
Warrant

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.



Causing dematerialised instructions to be sent



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Debenture
Government and public security
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)
Share
Unit
Warrant

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

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
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)
 Debenture
 Future (excluding a commodity future and a rolling spot forex contract)
 Government and public security
 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
 Unit
 Warrant

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 principal



LIMITATIONS

Customer Type

Eligible Counterparty
 Professional
 Retail (Investment)

Investment Type

Certificates representing certain security
 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)
 Debenture
 Future (excluding a commodity future and a rolling spot forex contract)
 Government and public security
 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

Unit

Warrant

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

Certificates representing certain security

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)

Debenture

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

Government and public security

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

Unit

Warrant

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.

Managing investments



LIMITATIONS

Customer Type

Professional
Retail (Investment)

Investment Type

Certificates representing certain security
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)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
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
Unit
Warrant

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.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Customer Type

Eligible Counterparty

Professional
Retail (Investment)

Investment Type

Certificates representing certain security
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)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
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
Unit
Warrant

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.

Sending dematerialised instructions



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Debenture
Government and public security
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)
Share
Unit
Warrant

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.

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 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.

Current

Showing 10 results out of 17

Name	Individual reference number	Status	Role
<u>Brendan Seamus Callan</u>	BSC01035	Approved by regulator	SMF1 Chief Executive SMF3 Executive Director

Name	Individual reference number	Status	Role
<u>Tiago Nunes da Fonseca</u>	TXN00035	Approved by regulator	SMF17 Money Laundering Reporting Officer (MLRO)
<u>Joanna Simon</u>	JXS08530	Approved by regulator	SMF16 Compliance Oversight
<u>Juan Miguel Café</u>	JMC01444	Approved by regulator	SMF3 Executive Director
<u>Edwin Philip Alfred Manning</u>	EPM01025	Approved by regulator Certified / assessed by firm	[FCA CF] Material risk taker SMF9 Chair of the Governing Body
<u>Annette Marie Barnes</u>	AMB01262	Approved by regulator Certified / assessed by firm	[FCA CF] Material risk taker
<u>Paul Sutherland</u>	PXS00846	Certified / assessed by firm	[FCA CF] Material risk taker
<u>Jesse Snider</u>	JXS00584	Certified / assessed by firm	[FCA CF] Proprietary trader [FCA CF] Material risk taker
<u>Sekhar Ramachandran</u>	SXR00991	Certified / assessed by firm	[FCA CF] Material risk taker
<u>Kulraj Bhogal</u>	KXB00733	Certified / assessed by firm	[FCA CF] Significant management [FCA CF] Material risk taker

Previous

Showing 10 results out of 201

Name	Individual reference number	Role
<u>Tiago Nunes da Fonseca</u>	TXN00035	[FCA CF] Significant management

Name	Individual reference number	Role
<u>Stephanie Paporizos</u>	SXP00354	[FCA CF] Significant management [FCA CF] Material risk taker
<u>Juan Miguel Café</u>	JMC01444	CF1 Director CF28 Systems and controls
<u>Michael Grant</u>	MXG02056	CF10 Compliance Oversight CF11 Money Laundering Reporting SMF16 Compliance Oversight SMF17 Money Laundering Reporting Officer (MLRO)
<u>DAVID ELON KING</u>	DEK01044	CF2 Non Executive Director SMF9 Chair of the Governing Body
<u>Brendan Seamus Callan</u>	BSC01035	CF1 Director CF3 Chief Executive
<u>John Anthony Gollan</u>	JAG01282	CF2 Non Executive Director
<u>Edwin Philip Alfred Manning</u>	EPM01025	CF2 Non Executive Director
<u>Adrian Robert Rader</u>	AXR01849	CF10 Compliance Oversight CF11 Money Laundering Reporting
<u>Simon Foster</u>	SPF01029	CF30 Customer

Who is this firm connected to?

Appointed representatives and agents

This firm is/was responsible for regulated activities of the firm(s) listed below during the period it (they) acted on its behalf (between the dates shown below as Effective from and Effective to).

The table(s) below lists the Appointed Representatives and Payment services / Electronic money agents currently or previously connected with this firm. You can also see if they have/had Tied agent or EEA Tied agent status. In each case, the principal is / was responsible for the regulated activities carried out on its behalf by its appointed representatives / agents during the dates shown below as Effective from and Effective to (when the relationship ended). An agent or Appointed Representative may act of behalf of more than one principal firm.

Previous

Filter 

Showing 6 results out of 6

Name	Insurance Distribution	Tied Agent	EEA Tied Agent	AR Relationship	Firm reference number	Effective from	Effective to
<u>CB London Capital Limited</u>	No	No	No	Full	589450	11 Nov 2013	11 Mar 2015
<u>MDS & AM LTD</u>	No	No	No	Introducer	615211	31 Jan 2014	05 Mar 2015
<u>Opal Core Limited</u>	No	No	No	Full	566651	20 Feb 2018	23 Mar 2018
<u>Opal Core Limited</u>	No	No	No	Full	566651	17 Oct 2013	19 Feb 2018
<u>Timothy McLachlan</u>	No	No	No	Introducer	597328	18 Mar 2013	06 Nov 2014
<u>TopTradr Limited</u>	No	No	No	Full	591335	15 Nov 2012	19 Aug 2015

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.

Showing 2 results out of 2

Regulator	Effective from	Effective to
Financial Conduct Authority	01 Apr 2013	
Financial Services Authority	27 May 2003	31 Mar 2013

Disciplinary and regulatory action

Disciplinary and regulatory action



Actions taken by the FCA and/or PRA against this firm.

This section includes:

- Supervisory, disciplinary and civil regulatory action (but not criminal action) the FCA and/or PRA has taken, has decided to take, or has proposed to take and considers appropriate to publish.
- Civil penalties, including fines, that the FCA has imposed or has decided to impose.
- Enforcement can take different forms such as fines or removal of authorised status, as laid out in the Financial Services and Markets Act 2000 (FSMA) or the Payment Services Directive (PSD). These will be noted in the column 'Enforcement Type' if relevant.

This section does not include:

- action taken by other enforcement agencies, including the Police, Serious Fraud Office and the Competition and Markets Authority
- action taken by foreign regulators

11 Mar 2014

Fines

More information

Enforcement Type FSMA