



Finance Managers Co. Limited
Treating Customers Fairly

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The Treating Customers Fairly principle saying that “a firm must pay due regard to the interests of its customers and treat them fairly” is one of our key rules.

At Finance Managers Co. Limited the Directors and Senior Management are committed to ensuring that principle of Treating Customers Fairly (TCF) is applied in all aspects of our business activities.

We recognise that fair treatment of our customers is about adding value to the service we offer. To ensure that we are continuously providing our customers with a valuable service we aspire to:

protect the interests of our customers in all areas of our dealings with them and at each stage of the product life cycle, from promotion right through to after sales service meet the needs of each customer by offering a transparent and professional service, and to constantly review our service to identify areas where we can improve it.

Our Commitment to you

To only recommend products that we consider to be suitable for you after sufficiently acquainting ourselves of your circumstances;

- To provide timely and best execution at all times;
- To maintain a superior level of system and platform availability;
- To ensure all staff implement TCF in their daily business activities;
- To ensure your complaints are assessed fairly and impartially and handled professionally should you ever become unhappy with our service;
- To encourage staff to recommend improvements to service following customer complaints;
- To ensure that promotional material is clear, compliant and appropriately targeted;
- To provide accurate, complete and timely communications;
- To ask for and listen to your feedback and place your interests first.

Due to CFTC regulatory restrictions and in accordance with the Dodd-Frank Act, FINANCE MANAGERS CO. LIMITED CANNOT OPEN ACCOUNTS FOR RETAIL CUSTOMERS WITH RESIDENCE IN THE UNITED STATES*.

*A United States resident means any of the following: any natural person resident of the United States; any company, partnership, or other legal entity created or organised under the laws of any jurisdiction of the United States; a branch or agency of a foreign entity located in the United States; a trust of which the trustee is a United States resident; an estate of which a United States resident is the executor or administrator; or any account held for the benefit of a United States resident.