

REGULATIONS

As a firm we are regulated by the Financial Conduct Authority (FCA registration number 479827) and have been since 2008.

That means that you can be assured of the fact that we always do things the right way and have a strong compliance structure behind us to ensure that we continue to do so. It also means that we follow a very robust set of procedures to ensure that the client is always given a fair, honest and transparent service.

In fact one of the fundamental principles that the FCA asks firms to follow is Treating Customers Fairly (TCF) and this is something that at London Stone Securities we have implemented and follow closely. In conjunction with the Retail Distribution Review (RDR) we are committed to giving our clients the best possible service.

As a business we are constantly looking to improve our services which is why we also ask for customer feedback to ensure that we always put our clients first. As a direct result of this feedback we continually implement new policies and procedures so that we are always one step ahead in being the industry leaders in listening to our client needs.

Most important of all is honesty and transparency. Nobody can guarantee how shares may perform or how markets may react but one thing we can guarantee is that you will always be treated fairly and honestly. There are no silly gimmicks, no hidden charges, and no false promises.

How to check whether a firm is really FCA regulated If you are ever unsure of whether you are being approached by a firm that purports to be regulated the best thing to do is to go to www.fca.org.uk and find the firm online. Only ever contact the firm through the number that the FCA provides. In the case of London Stone Securities it is 020 3697 1700