

Regulation and License

Capital Gain is an investing platform that empowers users to grow their knowledge and wealth as part of a global community of investors. As a multi-asset broker with thousands of users around the world, Capital Gain is regulated in multiple jurisdictions.

UK

capital gains is authorised and regulated by the Financial Conduct Authority (“FCA”) UK and Company House UK with the Company number 03262351. FCA regulates financial services firms and financial markets in the UK

USA

capital gains is a registered Money Services Business (MSB) with Financial Industry Regulatory Authority (FINRA) in the United States and Security EXchange Commission (SEC) with company registration 122313. FINRA is an independent, non-governmental regulator for all securities firms doing business with the public in the United States.

Australia

capital gains is licensed and regulated by the Australian Securities and Investment Commission (ASIC) with company number 106251281. The ASIC is Australia’s corporate, markets and financial services regulator and is responsible for ensuring its financial markets are fair and transparent

Canada

capital gains is authorised by Investment Industry Regulatory Organisation of Canada (IIROC) and Canada Investment Regulatory Organisation(CIRO) 52-176 The Investment Industry Regulatory Organization of Canada is the pan-Canadian self-regulatory organization that oversees all investment dealers and trading activity on Canada’s debt and equity marketplaces.

British Island

capital gains is a registered with British Virgin Islands Financial Services Commission company registration (BVIFSC) SIBA/L/15/1073. The B.V.I Financial Services Commission is the Territory's single financial services Regulator responsible for authorising and licensing companies or persons to conduct financial services business.

Cyprus

capital gains is licensed by Cyprus Securities and Exchange Commission (CySEC) 381/14 as a licensed investment firm compliant with the Markets in Financial Instruments Directive (MiFID). MiFID provides a harmonised regulatory regime for investment services within the European Economic Area.

South Africa

capital gains is part of the South African market and regulated by South Africa's Financial Sector Conduct Authority (FSCA) No.45967. The FSCA is responsible for regulating financial institutions in south Africa

Dubai

capital gains is licensed by Abu Dhabi Global Markets Financial Services Regulatory Authority ADGM / FSRA 190021. DGM's Financial Services Regulatory Authority was established to advocate a progressive financial services environment and uphold the integrity of the whole international financial centre by managing any potential risks exposure and undesirable impact.

Japan

capital gains is regulated by The Financial Futures Association of Japan Financial Services Agency Japan (FFAJ) License ID 1585. FFAJ is the national securities regulator of Japan and is responsible for regulating and supervising activities of financial institutions.

Managed Accounts Disclosures

For your managed account offered by Capital Gains, it is important for us to maintain accurate information concerning your financial situation and investment objectives, and you can impose reasonable investment restrictions (or modify existing investment restrictions) on the management of your account. Depending on your managed account program, there are different ways to update this information and impose or modify an investment restriction. , Please contact your Account Manager for help.

FIDUCIARY DUTY

Our commitment to provide you with best execution does not mean that we owe you any fiduciary responsibilities in respect of order execution over and above the specific regulatory obligations placed upon us or as may be set out in our Agreement with you

TREATING CUSTOMERS FAIRLY

The FCA sets specific rules and regulations for how authorised firms like us must handle and resolve complaints in respect of its regulated activities from its customers.

COMPLAINTS HANDLING

Capital Gains, hereinafter referred to as the 'Company', maintains effective and transparent procedures for the reasonable and prompt handling of Complaints received from Complainants and keeps records of each Complaint as well as the actions taken to remedy any situation. Our aim is to provide a high level of service to all of its clients at all times. We value feedback of all kinds from our clients and use it to enhance the company's products and services. We appreciate that from time to time, things can go wrong or there can be misunderstandings. We are committed to dealing with queries and complaints positively and sympathetically. Where we are at fault, we aim to put things right at the earliest opportunity.

If our customer services team is unable to resolve your query or you feel that our service has not met your expectations and you wish to make a formal complaint, you may then refer it as a complaint. A complaint is any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service.

