



Important Regulatory Information for Investors

Hurley Partners Limited is authorised and regulated by the Financial Conduct Authority (number 665051). It is a limited company registered in England & Wales (number 8401891). Registered office : 12 Conduit Street, Mayfair, London, W1S 2XH.

The value of investments and the income from them may go down as well as up and you may not get back your original investment. Past performance should not be seen as an indication of future performance. Past performance information contained on this site may not be current and you should refer to the relevant offer document for up-to-date past performance information. Rates of exchange may cause the value of investments to go up or down.

The levels and bases of, and reliefs from, taxation may change in the future. Specifically, the current tax treatment of Venture Capital Trusts, EISs, ISAs, SSASs and SIPP's may change under future legislation.

Investors are recommended to take appropriate professional advice before making an investment.

The Financial Services Compensation Scheme

Hurley Partners limited participates in the UK Financial Services Compensation Scheme which provides a measure of protection where an investment firm is unable to meet its obligations to its client to an amount of £50,000 (or currency equivalent). More information about this scheme and your eligibility to benefit from the protection provided by the scheme is available on request or from the Financial Services Compensation Scheme – www.fscs.org.uk .

Custodian

Investors' assets are held by our nominated custodian, Platform Securities LLP ('Platform'). This is an integral part of our service.

Platform is regulated by the Financial Conduct Authority (FCA) and is required to comply with the FCA's Client Asset rules, which help protect investor assets in several ways, including;

- **Asset Segregation.** In compliance with FCA Client Asset Rules, investors' assets, under a Model B arrangement, are held on trust in accounts segregated from Platform's own assets. Therefore, in the unlikely event of default by Platform, investors' assets would be allocated to the beneficial owner. These assets would not be used to repay Platform's creditors in the event of liquidation. Although, in extremely rare circumstances, a court might permit a liquidator to meet the liquidator's costs in delivering the assets to the owner, out of the assets.
- **Verification of Asset Records and Instructions.** Platform is required to perform regular checks to verify that investor assets held in trust are accurately recorded. There must also be specific agreement as to who can issue and receive instructions on an investor's assets and the extent of their authority.
- **Assessment of Custodians.** The FCA stipulates that custodians appointed by Platform to hold investor assets must be subject to prior assessments to ensure that custodians extend the level of asset protection as required by the FCA.

Platform is obligated to meet a number of global regulatory requirements in the areas of risk management, capital adequacy, and financial reporting. The Capital Requirements Directive (CRD) focuses on the regulation of credit institutions and investment firms across the EU and implements a revised Basel II framework that related capital levels more closely to risks. Platform's compliance with this and many other international guidelines and regulations, including Sarbanes-Oxley, provides Hurley Partners Limited and their investors with additional assurances that the firm is adequately capitalised and operates within a best-practice framework.

Further information regarding our Best Executions Venues, and those of Platform can be found at <https://www.hurleypartners.co.uk/content/uploads/2020/05/RT28-Report-2020.pdf>

Shareholder Rights Directive

In accordance with SYSC 3.4.4 of the FCA handbook, the firm's Shareholder Engagement Policy can be reviewed at <https://www.hurleypartners.co.uk/content/uploads/2020/10/Shareholders-Engagement-Policy.pdf>

Complaints

If you have a complaint about the advice you receive or a product you bought through Hurley Partners Limited, please contact our Head of Compliance at:

Hurley Partners Limited
12 Conduit Street
Mayfair
London
W1S 2XH
T: 020 8936 3970
E: info@hurleypartners.co.uk

We are covered by the Financial Ombudsman Service (FOS). The FOS is available to settle certain complaints you make if they cannot be settled through our own complaints procedures.

The contact details of the FOS are as follows:

The Financial Ombudsman Service
Exchange Tower
London
E14 9SR
Website: www.financial-ombudsman.org.uk
T: 0800 023 4567 or +44 (0)20 7964 0500
E: complaint.info@financial-ombudsman.org.uk