

Regulation

Capital Index (UK) Limited (Capital Index) is authorised and regulated by the Financial Conduct Authority (FCA) under Firm Reference Number 709693.

Client Money

As a regulated firm, Capital Index must comply with the Client Assets Sourcebook (CASS) of the FCA Handbook which sets out the rules for holding and controlling client money. This includes the treatment, segregation, safeguarding and strict record keeping of client money and assets.

How your money is protected

All eligible client funds deposited with Capital Index is held by us on trust for you and is completely segregated from our own corporate funds. Should Capital Index become insolvent, your funds may not be used to offset any sums owed to Capital Index's creditors. If Capital Index is unable to meet its financial obligation to you, eligible claimants will be able to claim any shortfall of up to £85,000 from the Financial Services Compensation Scheme (FSCS).

When this does not apply

The only clients whose money and assets are not treated in this way are professional clients, or eligible counterparties who have signed a Title Transfer Collateral Agreement explaining how their money and assets are held differently. This agreement is not available to retail clients.

Complaints and the Financial Ombudsman Scheme (FOS)

Capital Index aim to provide the best possible service to all of our clients but in the event that things go wrong, please notify us so that we can rectify the issue as soon as possible. Your feedback is important to us and helps us to improve the products and services we offer to you.

Our [Complaints Policy](#) sets out what you can expect from Capital Index and how to get in touch with us should you wish to make a complaint. All complaints will be investigated by trained staff and Capital Index will endeavour to provide you with a resolution as quickly as possible.

Treating Customers Fairly

At Capital Index, we are committed to ensuring that the FCA principle of Treating Customers Fairly (TCF) is applied in all aspects of our business activities. Specifically, we will provide you with information relating to our products and services such as the features, benefits, risks and costs associated therewith to enable you make informed decisions regarding your investments.

Capital Index undertakes regular reviews of its products, policies and procedures, complaint handling and client communication to ensure that the six TCF outcomes are consistently being met. Staff are trained in TCF awareness on an ongoing basis.