
Cenkos Securities Plc - Summary of the Conflicts of Interest Policy

Cenkos Securities Plc (“Cenkos”, “the Firm”, “we”) is a UK based institutional broker which provides a range of financial services activities including, corporate finance advice, securities issuance, research, sales, trading and market making amongst other capital markets and investment activities.

Cenkos has adopted a Policy to address activities where conflicts of interest may arise in relation to the services carried out for clients and this Policy sets out how we aim to manage these in a consistent manner in compliance with the FCA Handbook. The Policy aims to uphold Cenkos’ reputation for integrity and fair dealing, meet regulatory expectations and maintain the trust and confidence of our clients and counterparties.

Due to Cenkos’ specific roles and Corporate Finance business (sponsor services and AIM nominated advisor services), it is also bound by the Listing Authority and the London Stock Exchange’s AIM rules. Cenkos must therefore ensure that it carries out its business and provides services to its clients in a manner that adheres to all rules and regulations pertaining to conflicts of interest.

Cenkos has organisational and administrative arrangements in place to take all reasonable steps to manage conflicts of interest that arise between Cenkos and its clients, and between our different clients. These arrangements are intended to prevent or manage any actual or potential conflicts. Where we deem our arrangements as not sufficient to ensure, with reasonable confidence, that risks of damage to your interests will be prevented, we will disclose the general nature and/or sources of conflict of interest to you. You will then have the right to decide how you wish to proceed before we undertake any business for you. On occasion we may have to decline to act for you if we do not believe that the conflicts we have identified can otherwise be properly managed.