
FINAL NOTICE

To: Winterflood Securities Limited

Reference
Number: 141455

Address: Riverbank House
2 Swan lane
London
EC4R 3GR

Date: 26 July 2024

1. ACTION

- 1.1. For the reasons given in this Final Notice, following a request received from Winterflood Securities Limited (“WSL”) the Authority hereby limits and restricts the services to which the sponsor approval of WSL relates, such that WSL may provide sponsor services solely to a company listed or applying for listing on the Official List in the listing category closed-ended investment funds.

2. SUMMARY OF REASONS

- 2.1. The Authority hereby grants WSL’s application for the above limitation and restriction.
- 2.2. The Notice is part of a sponsor supervisory process and not disciplinary in nature. For the sake of clarity, no disciplinary sanction has been imposed by this Notice.

3. DEFINITIONS

- 3.1. The definitions below are used in this Notice:

“the Act” means the Financial Services and Markets Act 2000

“the Authority” means the Financial Conduct Authority

4. FACTS AND MATTERS

- 4.1. WSL is authorised and regulated by the Authority and is on the list of approved sponsors.
- 4.2. WSL has applied to the Authority to limit and restrict the services to which its sponsor approval relates, such that it may provide sponsor services solely to a company listed or applying for listing on the Official List in the listing category closed-ended investment funds.
- 4.3. The Authority hereby grants this application.

5. PROCEDURAL MATTERS

- 5.1. This Notice is given to WSL under, and in accordance with, section 390 of the Act.

Decision maker

- 5.2. The decision which gave rise to the obligation to give this Notice was made by FCA staff under Executive Procedures.

Publicity

- 5.3. Sections 391(4), 391(6) and 391(7) of the Act apply to the publication of information about the matter to which this notice relates. Under those provisions, the Authority must publish such information about the matter to which this notice relates as the Authority considers appropriate. The information may be published in such manner as the Authority considers appropriate. However, the Authority may not publish information if such publication would, in the opinion of the Authority, be unfair to you or prejudicial to the interests of consumers or detrimental to the stability of the UK financial system.

- 5.4. The Authority intends to publish such information about the matter to which this Final Notice relates as it considers appropriate.

Authority contacts

- 5.5. For more information concerning this matter generally, contact Niall Perera at the Authority (direct line: 020 7066 2681 /email: Niall.Perera@fca.org.uk).

Sarah Hone

Head of Department (Interim), Primary Market Oversight, for and on behalf of the Authority