

ICAP Group Licensing

August 2013

ICAP plc is the holding company of ICAP Group.

The majority of ICAP Group operating companies are licensed by financial services regulators in the jurisdictions they operate in around the world.

ICAP companies are licensed and regulated by the following authorities:

Europe

- UK Financial Conduct Authority
- Commodity Futures Trading Commission
- Danish Finanstilsynet
- German Bundesanstalt für Finanzdienstleistungsaufsicht
- Polish Financial Services Commission
- Financial Supervisory Authority of Norway (Finanstilsynet)
- Comision Nacional del Mercado de Valores (CNMV)
- The Netherlands Authority for Financial Markets (AFM)

Africa and Middle East

- JSE Limited (Johannesburg Stock Exchange)
- Central Bank of Bahrain
- Dubai Financial Services Authority (DFSA)
- Reserve Bank of South Africa
- Financial Services Board (South Africa)
- Securities and Exchange Commission (Nigeria)

Americas

- Commodity Futures Trading Commission
- Chicago Mercantile Exchange/Chicago Board of Trade
- Financial Industry Regulatory Authority
- US National Futures Association
- US Securities and Exchange Commission
- Brazilian Securities and Exchange Commission (CVM)
- Central Bank of Brazil (BACEN)
- Brazilian Commodities, Futures and Stock Exchange (BM & FBOVESPA)

Asia Pacific

- Australian Securities and Investments Commission (ASIC)
- Australian Stock Exchange (ASX)
- China Banking Regulatory Commission (CBRC)
- Commodity Futures Trading Commission
- Financial Market Department of PBC (FMD) (China)
- Shanghai Administration of Foreign Exchange (SAFC)
- Hong Kong Monetary Authority
- Securities and Futures Commission (SFC) (Hong Kong)
- Securities and Exchange Board of India (SEBI)
- The National Stock Exchange of India Ltd (NSE)
- Bank of Indonesia
- Financial Service Agency (Japan)
- Ministry of Strategy and Finance (MOSF) (South Korea)
- Bank of Korea (BOK)
- Financial Supervisory Commission (FSC) (South Korea)
- Financial Supervisory Service (FSS) (South Korea)
- Bank Negara Malaysia
- Securities Commission (Malaysia)
- The Securities Commission (New Zealand)
- Securities and Exchange Commission (Philippines)
- Monetary Authority of Singapore (MAS)
- Central Bank of China
- Ministry of Commerce (Thailand)
- Securities and Exchange Commission (Thailand)