

[refinitiv.com](https://refinitiv.com)

## Introduction

Refinitiv Transaction Services Limited (“RTSL”) is authorised and regulated by the UK Financial Conduct Authority (“FCA”).

RTSL has permissions for:

- operating an MTF<sup>1</sup>;
- arranging (bringing about) deals in investments;
- making arrangements with a view to transactions in investments; and
- agreeing to carry out any of the above activities.

## Governance Information

RTSL is led by an experienced board of directors (the “Board”), which has overall responsibility for both its governance and day-to-day management including overseeing its strategic objectives, risk management, and financial and non-financial systems and controls. The Board is supported by various committees; each committee is governed by a terms of reference and meets regularly to take actions and decisions collectively. The roles of Chairman and Chief Executive Officer are held by different individuals.

The directors bring a balance of skills, knowledge and experience to RTSL. In particular, they are committed to high standards of corporate governance to ensure:

- ethical and legal corporate conduct;
- fair financial reporting; and
- effective supervision and management of RTSL as required under applicable laws and regulations.

In addition:

- new directors undergo induction training and all existing directors carry out periodic training to ensure their skills and knowledge remain relevant;
- Board members commit sufficient time to perform their functions and do not assume responsibilities that are incompatible with their Board membership;
- the Board monitors and periodically assesses the effectiveness of RTSL's governance arrangements and takes appropriate steps to address any deficiencies;
- directors are expected to advise the Board of any material changes in their circumstances that may affect their ability to continue to meet requirements on integrity, judgment, skills and qualifications; and
- Board members do not hold more directorships than is appropriate or permitted by the regulations.

## Remuneration Policy Information

RTSL is an IFPRU 730k Limited Licence Firm and as a result is subject to SYSC 19A (“the Remuneration Code”) of the FCA Handbook. Further information about the firm's Remuneration policy can be found in the annual Remuneration disclosure.

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<sup>1</sup> while RTSL technically retains its MTF permission, the Refinitiv MTF is provided by FRTSIL with effect from 30 September 2019.