

# Conflicts of Interest.

## Managing conflicts of interest

Please be aware that when we execute a transaction on your behalf, we, an Interactive Investor Group company or an associate may have an interest, relationship or arrangement that is material to all or any part of the Information or Services being provided to you.

We take the identification and management of conflicts of interest seriously. We have implemented a conflicts of interest policy that identifies those circumstances that constitute, or may give rise to conflicts of interest which pose a material risk of damage to one or more of our customers. This policy also addresses the effective organisational and administrative arrangements that we maintain and operate to manage these conflicts. If, at any time, you would like to receive further details in relation to our conflicts of interest policy, please contact us in writing.

If, in respect of a specific conflict of interest which arises, we consider that the arrangements are not sufficient to enable us to ensure, with reasonable confidence, that the risk of damage to the interests of you and any of our other customers will be prevented, we will refuse to act or we will tell you of the nature and type of conflict of interest before we undertake any business on your behalf. This means that you will be able to decide whether you agree to us acting for you in these circumstances. If you object to our acting for you, you should notify us in accordance with clause 23.5 of our Terms of Service, addressing your communication for the attention of the

Compliance Officer.

Examples of conflicts of interest which may arise when providing services to you include, for example and without limitation:

- acting as agent for an associate or another customer or investor and also acting as agent for you in the same transaction, and receiving and retaining commission or other charges from both parties, and the price of the transaction being different from the bid or, as the case may be, offer price;
- buying investments where we are, or an associate is, involved in a new issue, offer for sale, rights issue, take over or similar transaction concerning the investment;
- executing a transaction for or with you in circumstances where we have knowledge of other actual or potential transactions in the relevant investment;

The relationship between you and us is only as described in the applicable Terms of Service. Neither that relationship, nor the Services, nor any other matter will give rise to any other duties on our part, or that of any affiliate, which would prevent or hinder us or them from doing business with or for you, other customers or other persons, or for our or their own account.

### Treatment of fees, commissions or other non-monetary benefits

We are entitled to pay or accept a fee, commission or other nonmonetary benefit paid by, or provided to you or on your behalf.

We are also entitled to retain any payment, remuneration or fees which enable us to provide or which are necessary for the provision of the Services, such as, without limitation, settlement and exchange fees, regulatory levies and legal fees.

If we notify customers of a company making an Initial Public Offering (“IPO”) we may receive a commission of up to 2.5% of the value of subscriptions made through us. However, if the IPO involves a Retail Investment Product (“RIP”) then we will only seek to recover the costs associated with advertising the IPO.

In the event that your order is publicly displayed on an exchange order book, it may be subject to multiple fills. Each fill will be treated as a separate transaction and commission will be charged on each transaction or fill, in accordance with the Rates and Charges.

If you would like further information in relation to the receipt and provision of fees, commissions or other nonmonetary benefits, we can provide this to you on written request.

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