

ADM Investor Services International Limited

Reference number: 148474

This firm is authorised for **specific activities and product types**. It's important to check the full record for what regulated activities this firm has permission to do.

There has been disciplinary or regulatory action involving this firm.

▲ Some activities by this firm may not be protected

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS). However, this is not always the case and these organisations may not cover some of this firm's activities. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the **Financial Ombudsman Service's website (<https://www.financial-ombudsman.org.uk/consumers/complaints-can-help/>)** and the **FSCS's website (<https://www.fscs.org.uk/what-we-cover/>)** about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

Notices

Disciplinary / regulatory action

This firm has been subject to disciplinary or regulatory action. That action may be historic or it may currently affect the regulated activities they are permitted to do. Check the record and contact the FCA if you need further help.

See the disciplinary or regulatory action involving this firm.

Clones of this firm

Individuals are using the details of this firm to suggest they work for the genuine firm. We call this a **cloned firm** and it is typically part of a scam.

To contact the genuine firm you should call the switchboard number listed on the Register - and contact us if it is not provided. Find out more about the clone firm(s):

ADM Securities (clone)

Added to the FS Register on 15 Feb 2019.

Who is this firm?

Firm details



Check details about this firm's place of business, contact details, etc.

The 'firm details' displayed on the register have been confirmed as correct.

Firms are required to confirm that the information shown is correct at least annually.

Address

A D M Investor Services
The Minster Building
21 Mincing Lane
London
City Of London
EC3R 7AG
UNITED KINGDOM

Email

Support@adm-international.com

Website

<https://adm-international.net/>

Firm reference number

148474

Registered company number

02547805

Firm status



Check this firm's status and any additional regulatory information.

Status

Authorised
Since 01/12/2001

This firm is authorised for **specific activities and product types**. It's important to check the **full record** for what regulated activities this firm has permission to do.

Type

Regulated

Trading names



This firm currently trades under 1 trading names.

Current names

Showing 1 result out of 1

Name	Type of name (Registered, Trading)	Effective from
ADM Investor Services International Limited	Registered	16 Mar 1998

Previous names

Showing 3 results out of 3

Name	Type of name (Registered, Trading)	Effective from	Effective to
ADM Securities	Trading	19 Apr 2002	30 Oct 2018
Meespierson Derivatives Limited	Registered	01 Jun 1993	06 Mar 1998
Esprit Brokers Limited	Registered	28 Nov 1990	01 Jun 1993

How are customers protected?

Protections and support



Understand the protections you have when dealing with this firm, and how to make a complaint.

Customer protections and the Register

The Register tells you the activities the FCA has given this firm permission to carry out. The Register can only give you general information about the help from other organisations if something goes wrong when dealing with this firm. The Register does not detail the activities that the firm undertakes that do not require FCA approval.

The Financial Ombudsman Service and the Financial Services Compensation Scheme (FSCS) are the main organisations who may be able to help if something goes wrong when dealing with this firm. The Financial Ombudsman Service may be able to resolve your complaint against this firm if the firm fails to deal with it properly. The FSCS may be able to provide compensation if this firm goes out of business owing you money.

The protection provided by the Financial Ombudsman Service and FSCS depends on the activity a firm is carrying out. There are also other conditions, such as needing to bring a complaint or claim within a set time period, that affect any protection you may have. The final decision to consider any specific complaint or claim is determined by the Financial Ombudsman Service or the FSCS. You should always check which activities are covered by these organisations before doing business with this firm.

The Financial Ombudsman Service may be able to consider a complaint about this firm

If this firm fails to deal with your complaint properly, you can ask the Financial Ombudsman Service to help. But it may not be able to consider complaints about all the firm's activities. The Financial Ombudsman Service has the final decision as to whether or not it will consider a specific complaint.

You can complain to the Financial Ombudsman Service about most regulated activities and some unregulated activities. The **Financial Ombudsman Service's website (<https://www.financial-ombudsman.org.uk/>)** has information about the type of activities you can complain about.

The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails

If this firm goes out of business owing you money, you can ask the Financial Services Compensation Scheme (FSCS) to help. FSCS protection only applies to claims in connection with some regulated activities. The FSCS has the final decision as to whether or not it will consider a specific claim. The **FSCS website (<https://www.fscs.org.uk/>)** gives you information on what it protects.

If you have a complaint about a firm

If you are concerned you've been scammed: consumers in England, Wales or Northern Ireland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Action Fraud (<https://www.actionfraud.police.uk/>)**; consumers in Scotland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Police Scotland. (<https://www.scotland.police.uk>)**.

Complain to the firm

Philip Llewellyn

A D M Investor Services
The Minster Building
21 Mincing Lane
London
City Of London
EC3R 7AG
UNITED KINGDOM

Support@adm-international.com

<https://adm-international.net/>

Help using the Register

If you have any concerns or difficulties using the Register you can contact the FCA and we will talk you through the record and answer any queries you may have.

What can this firm do in the UK?

Restrictions



Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do.

Client Money

This firm can hold and can control client money

Specific requirements may change this firm's ability to hold or control client money – see below for details.

Financial promotions



Check if this firm has permission to approve financial promotions and what these permissions are.

What this information means

The law restricts who can promote financial services and products ('communicate financial promotions'). Firms or individuals ('persons') have to be authorised to do this, unless an authorised person has already approved the financial promotion or an exemption applies. This firm is an authorised person. This means it may be able to approve financial promotions for unauthorised persons in some circumstances. This section sets out the types of financial promotions this firm can approve.

Unless there is a **requirement** on this firm that says otherwise, then:

This firm can approve its own financial promotions as well as those of members of its wider group and, in certain circumstances, those of its appointed representatives.

If you have concerns about a financial promotion or would like to check that an authorised person has approved a financial promotion, please contact the authorised person who communicated or approved it.

If the financial promotion came from an unauthorised person, then the promotion may show the name of the

authorised person who approved it or that firm's reference number (FRN).

Please note The Financial Ombudsman Service is unlikely to consider a complaint about the approval of a financial promotion. The Financial Services Compensation Scheme is unlikely to be able to consider claims that are solely about the communication or approval of financial promotions.

If you're worried or have a complaint about the firm, please check '[How are customers protected?](#)' section.

Activities and services



Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm.

What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS).

However, this is not always the case and these organisations may not cover some of this firm's activities. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the Financial Ombudsman Service's website and the FSCS's website about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should **contact the FCA.** (<https://www.fca.org.uk/contact>).

Investments



Advising on investments (except on Pension Transfers and Pension Opt Outs)



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Arranging (bringing about) deals in investments



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture

Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Dealing in investments as agent

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Dealing in investments as principal

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Future (excluding a commodity future and a rolling spot forex contract)
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share

Limitation

Limited Activity : May only deal on own account in MiFID financial instruments for the purpose of (i) fulfilling or executing a client order or (ii) gaining entrance to a clearing and settlement system or a recognised exchange when acting in an agency capacity or executing a client order.

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Managing investments

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share

Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Unit

Limitation

Rights to or interests in (both). : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Sending dematerialised instructions



LIMITATIONS

Customer Type

Professional
Retail (Investment)

Investment Type

Certificates representing certain security
Government and public security
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share

Limitation

Limited to carry on regulated activities. : The firm can only agree to carry on the regulated activities specified in this Notice.

Rights/interests - sec ltd to securities listed : Investment activity in "rights to or interests in investments (security)" is limited to the investment types granted for this activity.

▢ Other activities

Agreeing to carry on a regulated activity

LIMITATIONS

Limitation

Limited to carry on regulated activities. : The firm can only agree to carry on the regulated activities specified in this Notice.

Who is involved with activities at this firm?

Individuals

Individuals currently and previously involved in regulated activities at this firm.

You should check the details of any individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record.

Current

Showing 10 results out of 55

Name	Individual reference number	Status	Role
<u>Stephen Christopher Kemp</u>	SXK17026	Approved by regulator	SMF3 Executive Director SMF24 Chief Operations
<u>Sarah Murray</u>	SXM01330	Approved by regulator	SMF17 Money Laundering Reporting Officer (MLRO)
<u>Simon Napper</u>	SXN32448	Approved by regulator	SMF3 Executive Director SMF24 Chief Operations
<u>Benjamin Frederick Allfree</u>	BFA01003	Approved by regulator	SMF4 Chief Risk
<u>Helen McDermott</u>	HXM00522	Approved by regulator	SMF18 Other Overall Responsibility
<u>John Patrick Stott</u>	JPS01114	Approved by regulator	SMF9 Chair of the Governing Body SMF10 Chair of the Risk Committee SMF11 Chair of the Audit Committee SMF12 Chair of the Remuneration Committee SMF13 Chair of the Nominations Committee
<u>Stuart Patrick Jackson</u>	SPJ01034	Approved by regulator	SMF1 Chief Executive SMF3 Executive Director
<u>Philip Llewellyn</u>	PXL01556	Approved by regulator	SMF16 Compliance Oversight
<u>Alan William Leslie Morris</u>	AXM01525	Approved by regulator	SMF2 Chief Finance

Name	Individual reference number	Status	Role
<u>Karen Margaret Taylor</u>	KMT01058	Approved by regulator Certified / assessed by firm	[FCA CF] Client dealing SMF3 Executive Director

Previous

Showing 10 results out of 616

Name	Individual reference number	Role
<u>Paul Richard Simmons</u>	PRS01207	CF11 Money Laundering Reporting
<u>Sian Dibben</u>	SXM00825	SMF18 Other Overall Responsibility
<u>Peter Boden</u>	PJB01314	CF21 Investment Adviser
<u>Diarmuid Conor O'Hegarty</u>	DCO01033	CF1 Director CF10 Compliance Oversight SMF3 Executive Director SMF16 Compliance Oversight
<u>Graham Jon Farrow</u>	GJF01030	CF30 Customer
<u>Paul Robert Hole</u>	PRH01076	CF21 Investment Adviser
<u>Patrick John McBurney</u>	PXM01472	[FCA CF] Client dealing CF21 Investment Adviser CF29 Significant management CF30 Customer SMF18 Other Overall Responsibility

Name	Individual reference number	Role
<u>Carl Chambers</u>	CAC01125	CF21 Investment Adviser
<u>Raj Kumar Sunder Sitlani</u>	RKS01047	CF21 Investment Adviser
<u>Christopher Scott Ellicott-Taylor</u>	CST01010	CF26 Customer Trading

Who is this firm connected to?

Regulators



Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.

Showing 3 results out of 3

Regulator	Effective from	Effective to
Financial Conduct Authority	01 Apr 2013	
Financial Services Authority	01 Dec 2001	31 Mar 2013
Securities and Futures Authority	04 Jan 1991	30 Nov 2001

Disciplinary and regulatory action

Disciplinary and regulatory action



Actions taken by the FCA and/or PRA against this firm.

This section includes:

- Supervisory, disciplinary and civil regulatory action (but not criminal action) the FCA and/or PRA has taken, has decided to take, or has proposed to take and considers appropriate to publish.
- Civil penalties, including fines, that the FCA has imposed or has decided to impose.
- Enforcement can take different forms such as fines or removal of authorised status, as laid out in the Financial Services and Markets Act 2000 (FSMA) or the Payment Services Directive (PSD). These will be noted in the column 'Enforcement Type' if relevant.

This section does not include:

- action taken by other enforcement agencies, including the Police, Serious Fraud Office and the Competition and Markets Authority
- action taken by foreign regulators

29 Sept 2023

Fines

On 29 September 2023, the FCA imposed a financial penalty of £6,470,600 on ADM Investor Services International Limited, pursuant to section 206 of the Financial Services and Markets Act 2000. The reason for this action was due to deficient anti-money laundering systems and controls at ADM Investor Services International Limited during the period 30 September 2014 to 31 October 2016....

More information

Enforcement Type FSMA