

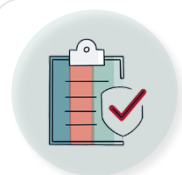


# The Conduct Rules



## Rule 1

You must act with integrity.



## Rule 2

You must act with due skill, care and diligence.



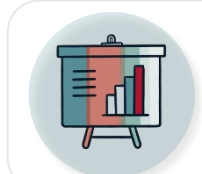
## Rule 3

You must be open and cooperative with the FCA, PRA and other regulators.



## Rule 4

You must pay due regard to the interests of customers and treat them fairly.



## Rule 5

You must observe proper standards of market conduct.



## Senior Manager Conduct Rules

Senior Managers are subject to four additional Conduct Rules.



## Personal Accountability

The FCA can hold staff at any level personally accountable for Conduct Rule breaches.



## Notifying the FCA

Firms must notify the FCA when disciplinary action is taken against an individual for a Conduct Rules breach.