

# License and Regulations

Fearnley Securities AS

---



Updated: 30. November 2023



## License and Regulations

### NORWAY

Fearnley Securities AS is registered in the Norwegian Registry of Business Enterprises under registration NO 945 757 647. Fearnley Securities AS is licensed and supervised by The Financial Supervisory Authority of Norway ("Finanstilsynet"). Fearnley Securities AS is a member of The Norwegian Investor Compensation Scheme. The Norwegian Investor Compensation Scheme covers claims arising out of an investment firm's financial inability to repay money owed to or belonging to investors and held on their behalf in connection with investment business; or return to investors any financial instruments belonging to them and held, administered, or managed on their behalf in connection with investment business.

Fearnley Securities AS is also a member of the Norwegian Securities Dealers Association ("Verdipapirforetaketenes Forbund"), a national trade organization for securities firms.

### UNITED STATES

Fearnley Securities, Inc. is a registered securities broker-dealer subject to regulation by the U.S. Securities and Exchange Commission ("SEC") and the Financial Industry Regulatory Authority ("FINRA"). The company's SEC file number is 8-69566. The company's FINRA registration number is 174133. The BrokerCheck details are available <https://brokercheck.finra.org/>

Fearnley Securities, Inc. is a Member of the Securities Investor Protection Corporation ("SIPC"), which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

### RELATED LINKS

<https://www.finanstilsynet.no/en/>

<https://www.verdipapirforetaketenessikringsfond.no/>

<https://www.vpff.no/en>

<https://www.finra.org/>

<https://www.sec.gov/>

<https://www.sipc.org/>

