

# Marex Capital (AD) Limited

## Firm Details

|                     |   |
|---------------------|---|
| <b>Firm Name</b>    | Marex Capital (AD) Limited  |
| <b>FSP Number</b>   | 160024  |
| <b>FSP Date</b>     | 08 June 2017  |
| <b>Firm Type</b>    | Financial Firms   |
| <b>Address</b>      | United Arab Emirates, Abu Dhabi, Maryah Island, Unit No. 1, 13th Floor, Al Maryah Tower, Abu Dhabi Global Market Square |
| <b>Email</b>        | <a href="mailto:marexad-compliance@marex.com">marexad-compliance@marex.com</a>  |
| <b>Phone</b>        | +971 24187580   |
| <b>Legal Status</b> | Private Company Limited By Shares   |
| <b>Status</b>       | Active  |

## Regulated Activities

| Type  | Asset Type | Effective Date | Withdrawn Date |
|---|------------|----------------|----------------|
| Dealing in Investments as Principal (Matched) |            | 08 Jun 2017    |                |
| Providing Custody                             |            | 08 Jun 2017    |                |
| Arranging Deals in Investments                |            | 08 Jun 2017    |                |

|                                 |  |             |  |
|---------------------------------|--|-------------|--|
| Dealing in Investments as Agent |  | 08 Jun 2017 |  |
|---------------------------------|--|-------------|--|

## Conditions / Limitations

In accordance with section 30(4)(a) of FSMR, the following limitations and stipulations apply to all Regulated Activities, unless specified otherwise:

- Marex Capital (AD) Limited is not permitted to deal with Retail Clients, as defined in the Conduct of Business Rulebook (COBS)

## Approved Persons

| Name                           | Person Reference Number | Role                      | Status    | Effective Start Date | Withdrawn date |
|--------------------------------|-------------------------|---------------------------|-----------|----------------------|----------------|
| Kaushal Pravinchandra Majithia | 00080                   | Licensed Director         | Withdrawn | 08 Jun 2017          | 25 Mar 2025    |
| Dmitry Nedvetsky               | 00079                   | Licensed Director and SEO | Withdrawn | 23 Oct 2018          | 23 Mar 2025    |
| Jonathan Richard Welch         | 00082                   | Licensed Director         | Active    | 12 Jun 2019          |                |
| Shakti Sekhar Pati             | 00734                   | Finance Officer           | Withdrawn | 01 Oct 2021          | 14 Nov 2024    |
| Bhaskar Dasgupta               | 00997                   | Licensed Director         | Withdrawn | 14 Jul 2022          | 15 Jun 2024    |
| James Yates                    | 01634                   | Senior Manager            | Withdrawn | 21 Dec 2023          | 10 Mar 2024    |
| Noora Al                       | 00751                   | Compliance                | Withdrawn | 21 Dec 2023          | 01 Aug 2025    |

|                         |       |                                 |           |             |             |
|-------------------------|-------|---------------------------------|-----------|-------------|-------------|
| Bahrani                 |       | Officer and<br>MLRO             |           |             |             |
| Adam Piper              | 02353 | Risk Officer                    | Active    | 10 May 2024 |             |
| Ryan Olivier<br>Lemand  | 00130 | Licensed<br>Director            | Withdrawn | 05 Sep 2024 | 25 Mar 2025 |
| Rahul Shukla            | 02484 | Finance<br>Officer              | Active    | 14 Nov 2024 |             |
| Jae Yun Cho             | 02526 | Licensed<br>Director            | Active    | 27 Nov 2024 |             |
| Thomas Hugues<br>Texier | 02525 | Licensed<br>Director            | Active    | 27 Nov 2024 |             |
| Shahab Hashemi          | 03096 | Licensed<br>Director            | Active    | 20 Aug 2025 |             |
| Gavin Trevor<br>Parker  | 03095 | Licensed<br>Director and<br>SEO | Active    | 20 Aug 2025 |             |
| Jurijs Dains            | 00935 | Compliance<br>Officer           | Active    | 28 Nov 2025 |             |
| Jurijs Dains            | 00935 | MLRO                            | Active    | 28 Nov 2025 |             |

## Regulatory Actions

| Date        | Title   | Category                      | PDF Link  |
|-------------|---|-------------------------------|---|
| 18 Feb 2025 | ADGM FSRA imposes financial penalty for contraventions of Common Reporting Standard Regulations and the Foreign Account Tax Compliance Regulations requirements | CRS / FATCA<br>Penalty Notice | <a href="#"></a> |

| <b>Date</b> | <b>Title</b>  | <b>Category</b>    | <b>PDF Link</b>   |
|-------------|---|--------------------|---|
| 13 Dec 2024 | ADGM FSRA imposes financial penalty for contraventions of Anti-Money Laundering requirements                | Final Notice       | <a href="#"></a> |
| 16 Jan 2024 | ADGM FSRA imposes financial penalty for contravention of Common Reporting Standard Regulations requirements | CRS Penalty Notice | <a href="#"></a> |
| 09 Jun 2022 | ADGM imposes financial penalty for breaching Common Reporting Standard Regulations requirements             | CRS Penalty Notice | <a href="#"></a> |