

Information letter and consent form for participants (Interview)

Identifying and mitigating conduct risks in algorithmic fixed income, currency, and commodity (“FICC”) markets

Consent Form for Research Participants (ERGO ID Number 63013)

I am Alexander Culley, a doctoral Researcher at the University of Southampton. I am requesting your participation in a study regarding the identification and mitigation of conduct risks in algorithmic fixed income, currency, and commodity (“FICC”) markets. You are asked to participate in an interview with me, which should last approximately 45minutes - 1 hour. Personal information will not be released or viewed by anyone other than researchers involved in this project.

Any information you give will be kept completely confidential and in no cases will responses from individual participants be identified. The study involves no risk to participants beyond the level of risk encountered in daily life. There may be no direct benefit to you other than the sense of helping the public at large and contributing to knowledge.

The interview will be done online (via a recorded Zoom, Microsoft Teams, or Skype session) or a recorded face-to-face meeting if allowed. Participants will receive no credit or monetary compensation. Participation is voluntary. You may withdraw from the study at any time.

The results of the study will be written up for submission as a part of the Researcher’s doctoral thesis. The Researcher will attempt to secure publication of the results in academic journals or discussion papers.

If participants have further questions about this study, they may contact the Researcher, Alexander Culley at a.c.culley@soton.ac.uk.

If participants have further questions about their rights or if they wish to lodge a complaint or concern, they may contact Head of Research Governance, Research Governance Office, University of Southampton, Southampton, SO17 1BJ. (Phone: 02380 595058, Email: rgoinfo@soton.ac.uk)

Please tick (check) the boxes to indicate that you consent to taking part in this study.

I agree to take part in this research project and agree for my data to be used for the purpose of this study.	
I understand my participation is voluntary and I may withdraw at any time for any reason without my participation rights being affected.	
I understand that the interview will be recorded using audio, video and/ or written notes. I understand that any audio or video recordings will be transcribed.	

Name of participant (print name)

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Signature of participant.....

Date.....

ALEXANDER CONRAD CULLEY (Researcher)

Signature of researcher

Date.....

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