

Modern Slavery Act 2015

Anti-slavery and human trafficking statement

Company overview

Canaccord Genuity Wealth Management UK (CGWM UK) is the trading name for a group comprised of the following entities: Canaccord Genuity Wealth Limited, CG Wealth Planning Limited, Canaccord Genuity Financial Planning Limited, Canaccord Genuity Asset Management Limited, Adam & Company Investment Management Limited and Punter Southall Wealth Limited.

CGWM UK is a subsidiary of Canaccord Genuity Group Inc. (CGGI), a Canadian company listed on the Toronto Stock Exchange. CGWM UK is also partially owned by HPS Investment Partners, and a further minority shareholding is held by CGWM UK employees. Our business is headquartered in London, with offices in Birmingham, Blackpool, Edinburgh, Guildford, Lancaster, Llandudno, Newcastle, Norwich, Southampton, Worcester and York.

CGGI is a global, full-service investment bank focussed on growth companies with operations worldwide and is also a wealth manager providing a range of discretionary, advisory and execution only services to clients, as well as wealth planning and fund management services. CGWM UK employs over 550 staff as of 17 January 2023.

Our supply chains

CGWM UK's supply chain includes, but is not limited to:

- IT hardware and software
- Building facilities and office supplies
- Payroll services
- Legal, accountancy and other professional intermediaries
- Financial market data and news
- Transaction related services and infrastructure.

Our policies and principles

We are committed to conducting business ethically and to ensuring that there is no modern slavery or human trafficking in our business or in our supply chains.

Employees are provided with training as part of the induction process, to ensure they have a high level of understanding of the risks of modern slavery and human trafficking in our business and supply chains. We expect our suppliers to meet the same high standards.

We have in place a number of company and Group policies which address issues relevant to modern slavery and human trafficking, including:

- Codes of Conduct
- Written employment practices and procedures which ensure fair recruitment and treatment of employees
- Written whistleblowing policy and procedure which enables employees to report in confidence concerns of malpractice or other unethical behaviour, which would include any concern related to modern slavery and human trafficking issues.

Our continuing commitment

We will continue to monitor and review our existing policies during the current financial year, with the aim of ensuring that modern slavery and human trafficking does not occur in any part of our business or our supply chains.

Approved by the Board

This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes CGWM's modern slavery and human trafficking statement for the financial year ended 31 March 2024.



David Esfandi
Chief Executive Officer