

Terms of Reference

Chief Executive Officer of AJ Bell plc

Role title	Chief Executive Officer (CEO), AJ Bell plc
Based at	Head Office, Manchester
Reports to	AJ Bell plc board (Board) via the Chair
Direct reports	Chief Financial Officer (CFO) Chief Operating Officer (COO) Advised Managing Director (Advised MD) D2C Managing Director (D2C MD) Chief Risk Officer (CRO) Chief Technology Officer (CTO)
Indirect reports	None
Job description	The CEO is the head of AJ Bell group (Group) and provides leadership and clear direction to achieve targeted increase in shareholder value.
Accountabilities (to the Board and shareholders)	<ul style="list-style-type: none"> • Long-term growth and increase in shareholder value. • Customer interests, ensuring that the interests of customers' are at the heart of the business. • Business performance, ensuring that key financial and business targets are met. • Financial efficiency of the business.
Responsibilities	<ul style="list-style-type: none"> • Lead and direct the Group, providing support to senior management in carrying out their roles, making key decisions as they arise and ensuring that the Group operates in accordance with the Guiding Principles, Group Risk Management Policy and Corporate Governance Policy, relevant FCA rules and principles, including, when applicable, the Consumer Duty, legislation, company procedures and service standards. • Develop strategy as agreed by the Board and oversee implementation, whilst keeping this under regular review. • Report to the Board regularly on business activities and progress, both financial and non-financial. • Serve as the principal external representative of the Group for corporate advisers and investors. • Chair the Executive Committee (ExCo) meetings and attend Board and committee meetings as required. • Define, review and oversee implementation of group Guiding Principles and branding. • Define, review and oversee implementation of the Group's PR and marketing strategy and marketing plans. • Set, monitor and review corporate performance, with the agreement of the Board. • Set objectives, review performance against these objectives and recommend to the Board the remuneration packages for CEO's direct reports. • Create, maintain and review the senior management structure and high level organisational structure of the Group.

- Ensure a strong risk and compliance management framework exists within the business and that business risks, including conduct risks, are identified and proactively managed and mitigated.
- Ensure that the group maintains an internal audit function that satisfies its own needs and FCA requirements and ensure that agreed recommendations arising out of such audits are implemented within an agreed time frame.
- Execute properly the responsibilities of an FCA approved person under the Senior Managers Regime and company director.

Revised: October 2022