

AJ Bell Group Anti-Slavery Statement

for the year ending 31 December 2019

This statement is made as per Section 54 of the Modern Slavery Act 2015 (the 'Act') and sets out the steps taken to ensure that slavery and human trafficking are not taking place in any of our supply chains or in any parts of our business.

Purpose and scope of this statement

Modern slavery is a crime resulting in the abuse of human rights. It comprises various offenses, such as slavery, servitude, forced and compulsory labour and human trafficking, all of which have in common the deprivation of a person's liberty by another in order to exploit them for personal or commercial gain.

We have a zero-tolerance approach to modern slavery and we are committed to acting ethically and with integrity in all our business dealings and relationships. This approach applies to our own business, all persons working for us or on our behalf in any capacity and all of our supply chains. We implement and enforce effective systems and controls to ensure modern slavery is not taking place.

We are committed to ensuring there is transparency in our own business and in our approach to tackling modern slavery throughout our supply chains, consistent with our disclosure obligations under the Modern Slavery Act 2015. We expect the same high standards from all of our contractors, suppliers and other business partners.

Organisation's structure, our business and our supply chains

AJ Bell is one of the UK's largest investment platforms. With 183,400 customers and £42 billion of assets under administration, we succeed by providing award-winning investment products, backed up with excellent service and online functionality at a low cost. We employ over 700 people in our Manchester and London offices.

AJ Bell is built on strong foundations. The depth of knowledge within the company can be traced to its background as an actuarial consultancy, specialising in the provision of SIPP administration and stockbroking services.

As part of our contracting processes, we include specific prohibitions against the use of forced, compulsory or trafficked labour, or anyone held in slavery or servitude, whether adults or children, and we expect that our suppliers will hold their own suppliers to the same high standards.

Policies in relation to slavery and human trafficking

Our AJ Bell Group Anti-Slavery Policy applies to all persons working for us or on our behalf in any capacity. The policy outlines the responsibility of AJ Bell employees to report suspicious activity and how to raise concerns. The policy is owned by the Chief Risk Officer and will be reviewed by Compliance annually. The Board of Directors has overall responsibility for ensuring the policy complies with our legal and ethical obligations, and that all those under our control comply with it.

Due diligence processes in relation to slavery and human trafficking in our business and supply chains

We will review suppliers' modern slavery policies and practices at the point of contract renewal and as part of the approval process for new suppliers.

Risk assessments

The parts of the business and supply chains where there is a risk of slavery and human trafficking taking place will take steps to assess and manage that risk.

Effectiveness of measures

Planned, regular reviews of our supply chain will ensure that the measures we are putting in place are, and remain, effective.

Training

As part of a company-wide programme, we will be training all employees to ensure that they understand and can spot the signs of modern slavery and human trafficking. Our recruitment policy includes conducting eligibility to work checks for all employees as a control against human trafficking. Employee contracts and our employee handbook are reviewed with modern slavery in mind.



Louis Petherick
Chief Risk Officer