



Numis Anti-Money Laundering Statement

Numis Corporation Plc and its UK subsidiaries (Numis Securities Limited and Numis Asset Management Limited) are committed to participating in international efforts to deter, detect and report suspected money laundering and terrorist financing activities as well as meeting our obligations to do so as an FCA authorised and regulated firm in the UK.

Numis has developed a set of risk-based policies, procedures and processes outlining its AML standards and principles, which apply appropriate risk-based scrutiny and monitoring measures to clients, particularly those whose business activities are known to be susceptible to criminal activity or who have been designated as high-risk for money laundering or terrorist activity financing.

This includes risk-based verification of client identity, client and transaction record keeping and retention, reporting of attempted and completed suspicious transactions, sanctions screening, risk rating of client relationships (which would be influenced by factors such as PEP involvement and country of incorporation), processes and systems to monitor customer transactions and activity, processes and systems to identify and report suspicious activity, processes to keep required records; and, regular staff training and awareness.

Numis is committed to the continuous development and maintenance of these policies, guidelines, training and risk-assessment tools and models, consistent with national requirements and international best practices, to help our employees deal with ever-evolving money laundering and terrorism financing risks. The policies are supported and approved by the board and reviewed on a regular basis.

Employees who engage in or facilitate money laundering, or who fail to comply with all applicable anti-money laundering regulations and Numis's related policies, may be subject to disciplinary action, up to and including termination. Numis reserves the right to terminate immediately any business relationship that violates our high ethical standards and our commitment to responsible business practices.