

# ALVARIUM

## **Introduction from Alexander de Meyer, Chief Executive Officer**

It continues to be a priority for Alvarium Investments Limited and members of our group (“**Alvarium**”) to ensure that we invest and operate ethically, source responsibly and work to prevent modern slavery and human trafficking throughout our organisation, investments, our investor partners and in our supply chain.

We believe that it is our collective responsibility to do all we can to eradicate modern slavery and human trafficking. As part of this and to ensure that we continue to eliminate modern slavery and human trafficking in all parts of our organisation, investments, our investor partners and supply chain in the most effective ways possible, we have implemented the policies and practices described in this document and we keep these under review.

## **Organisation's structure and business**

We are a global financial services business. The Group has over 270 employees and 28 Partners working across North America, Europe and Asia Pacific in 12 offices.

Our business is divided into four main areas: investment advisory, co-investment, merchant banking and family offices services.

For the year end 2021, we had a global annual consolidated turnover of approximately £75 million.

## **Our supply chains**

Our supply chains include providing clients with investment services to involve the custody, servicing and administration of investments and assets.

We utilise the services of tax advisers, investment managers, law firms and other professional advisers, as well as procuring goods and services in the real estate, administrative, technology and communications areas.

## **Our policies on slavery and human trafficking**

We have appropriate policies in place that underpin our commitment to ensure that there is no modern slavery or human trafficking in our supply chains or in any part of our business, including our investments. We keep these policies under review and update them as and when required.

Our Anti-slavery and Human Trafficking Policy reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking is not taking place anywhere in our supply chains, investor partners or investments. We also have a whistleblowing policy in place relevant to modern slavery, as well as various global HR policies and, as with all policies, these are kept under review and updated as needed.

You can read more about our commitment to ESG issues [here](#). As a signatory of the United Nations Principles of Responsible Investment (PRI) we believe that preservation and growth in capital are aligned with being a responsible investor, which we define as using information relating to sustainable investment criteria (including anti-slavery) in our investment decision-making processes.

## **Due diligence processes for slavery and human trafficking**

Overall, we consider our business' contribution to modern slavery and human trafficking to be low risk. Our employees and Partners operate within countries/regions that generally have a lower prevalence of modern slavery and human trafficking.

# ALVARIUM

As part of our initiative to identify and mitigate risk, we are preparing a Supplier Code of Conduct that all suppliers will be required to review and sign before they are permitted to provide services to us or we will seek confirmation from the supplier that they have their own policies and procedures in place that are broadly equivalent.

We carry out due diligence on our suppliers, investor partners and others with whom we do business.

It is possible that our business activities may be indirectly linked to risks of modern slavery, including via our investments.

We are committed to putting into place systems to:

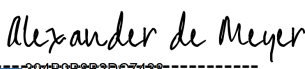
- identify and assess potential risk areas in our supply chains, investments and investor partners;
- mitigate the risk of slavery and human trafficking occurring in our supply chains, investments and investor partners; and
- monitor potential risk areas in our supply chains, investments and investor partners.

## **Supplier, investment and investor partner adherence to our values**

We have zero tolerance to slavery and human trafficking. To ensure all those in our supply chain and contractors comply with our values we are committed to putting in place a supply chain compliance programme. This consists of the preparation of a rigorous Supplier Code of Conduct that all suppliers will be required to review and sign before they are permitted to provide services to us or we will seek confirmation from the supplier that they have their own policies and procedures in place that are broadly equivalent.

## **Training**

This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes Alvarium's slavery and human trafficking statement for the financial year ending 2022. To ensure a high level of understanding of the risks of modern slavery and human trafficking in our supply chains, investments and our business, we will provide training to our management and staff.

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**Alexander de Meyer, Chief Executive Officer**

Alvarium Investments Limited

Date: 12 October 2022