

Modern Slavery Act Statement

Introduction

Liberum Capital Limited is an investment bank that was founded in 2007 to provide a better service than larger investment banks. Liberum Capital Limited and its subsidiaries (together the “Group” or “**Liberum**”) are committed to ensuring transparency across the Group, and we expect the same high standards from all of our contractors, suppliers and stakeholders.

Liberum’s main operating entity is Liberum Capital Limited, which is incorporated and domiciled in the United Kingdom. The principal activity of the Group is the provision of institutional and corporate stockbroking services, focused on cash equities, equity research and investment banking. The Group is committed to the highest standards of integrity and principled behaviour.

Liberum is committed to upholding the principles of the Modern Slavery Act 2015 (the “Act”). This statement is made pursuant to section 54 of the Act and applies to the Group for the financial year ended 31 December 2019, and was approved by the Board of Liberum Capital Limited on 29 September 2020.

Approach

Liberum does not act as a producer, manufacturer, or retailer of any physical goods and, as a financial services provider, it has a relatively straightforward supply chain compared to other sectors. Notwithstanding this, Liberum remains committed to ensuring that its supply chain is free of any slavery and human trafficking and will not knowingly sanction any relationships which support modern slavery.

As part of Liberum’s commitment to identify and mitigate risk we:

- have assessed the risk of modern slavery being present within Liberum’s existing supply chain;
- are in the process of implementing measures to identify, assess and mitigate any risk in relation to existing and future suppliers on an ongoing basis;
- will implement training for existing and new staff where appropriate; and
- will continue to review our approach and look to develop it where appropriate.



Shane Le Prevost
Chief Executive Officer & Chairman