

**King & Shaxson Limited
Modern Slavery Statement**

Version	Details	Approved by	Date
2025.01	Annual review. Set to new format inc table	OpCo	12/08/2025
2026.01	Annual review. Re-creation of statement by HRC.	Martin Langlands	23/07/2026

Introduction

King & Shaxson Limited is a UK-based financial services firm providing investment, trading and related financial services. Our operations are predominantly office-based and our supply chain is mainly comprised of professional advisers, technology providers, market infrastructure providers, facilities management companies and office service suppliers.

Statement

King & Shaxson Limited ("KSL") is committed to conducting its business ethically, responsibly and with integrity. We recognise our responsibility to prevent modern slavery, forced labour, human trafficking, servitude and exploitation in our business operations and supply chains.

We have a zero-tolerance approach to modern slavery and are committed to ensuring that our business activities are carried out in a manner that respects human rights and complies with applicable laws and regulations.

Policies and Controls

We maintain policies, procedures and governance arrangements designed to promote ethical business conduct and support compliance with legal and regulatory obligations.

These include:

Employee recruitment and onboarding procedures.

Whistleblowing arrangements that enable concerns to be raised confidentially.

Employee conduct and ethics policies.

Supplier onboarding and oversight processes.

Compliance and risk management frameworks.

Supply chain

Although we consider the risk of modern slavery within our business operations and supply chains to be relatively low given the nature of our activities, we seek to engage with reputable suppliers that share our commitment to ethical business practices.

Where appropriate, we undertake proportionate due diligence on suppliers and expect them to comply with applicable employment, human rights and anti-slavery legislation.

Training and awareness

We promote awareness of ethical business practices and encourage employees to report any concerns regarding potential human rights abuses, modern slavery or unethical labour practices through established reporting channels.

Ongoing Commitment

KSL will continue to review its policies, procedures and supplier relationships to help identify and mitigate the risk of modern slavery and human trafficking.

King and Shaxson Ltd. (Reg. No. 00869780) has its registered office at 155 Fenchurch Street, London, EC3M 6AL. The Company is registered in England and Wales and is part of the PhillipCapital Group. King and Shaxson Ltd. (FCA Reg. No. 179213) is authorised and regulated by the Financial Conduct Authority, 12 Endeavour Square, London, E20 1JN