

Slavery and Human Trafficking Statement

This statement comprises the Slavery and Human Trafficking statement of Raymond James Investment Services Limited (RJIS), and its subsidiaries and parent company together (together “Raymond James” or “Raymond James Wealth Management Limited”) for the financial year ending 30 September 2025, in accordance with section 54(1) of the Modern Slavery Act 2015 (“MSA”).

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Our Business and Values

We operate within the financial services sector and, in comparison to other goods and services providers; there is a lower risk of modern slavery occurring within our business and supply chain. This is largely because our supply chains are not complex and our employees are often qualified professionals.

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Procurement Process

Clear procurement processes and controls are in place with all suppliers and providers. The majority of our supply chain is made up of service providers based in the UK who we consider are generally at a lower risk of modern slavery and human trafficking than some overseas service providers. Where we outsource or place reliance on key suppliers in higher risk jurisdictions, we seek to ensure clear contractual obligations are in place with regards to anti-slavery and human trafficking laws, ensuring they comply with international human rights laws. Clear procurement processes and controls are in place with all suppliers and providers, such as cleaning contractors, recruitment consultants, stationary providers, law firms, design agencies, IT software and hosting providers, and catering contractors.

We regularly assess and review risk existing suppliers when each contract is reviewed and/or renewed, and at inception with new suppliers. We endeavour to include, where appropriate, the insertion of provisions into written contracts which oblige suppliers to comply with the MSA and hold them to the same standards that Raymond James Investment Services applies to its own business. If any organisation within its supply chain is unable to demonstrate their commitment to their obligations, they will not be taken on as a supplier or their services will be terminated.

Policies in relation to Slavery and Human Trafficking

Raymond James Investment Services is committed to preventing modern slavery and human trafficking in our business and supply chains. We recognise our shared responsibility with suppliers in tackling this issue and ensuring compliance with all human rights and UK employment laws.

We have clear practices, procedures, and policies in place to uphold these standards. Our Staff Handbook states that we have **zero tolerance for slavery and human trafficking and that all employees have a duty to report any concerns, whether internal or external.**

To raise awareness, we provide a dedicated training session on slavery and human trafficking as part of our Group induction event, which takes place at our corporate head office within two months of an employee joining.

Key policies supporting our commitment include:

- Equal Opportunities Policy
- Whistleblowing Policy
- Harassment Policy
- Health and Safety Policy
- Grievance Procedures

Additionally, Raymond James Investment Services is committed to fair pay and ensure that all staff receive at least the current Living Wage, which exceeds the UK's national minimum wage.

Actions Taken and Planned

Throughout the 2024/25 financial year, the Group has continued to build on the approach introduced over the past few years. Activities have included:

Training

Training remains front and centre on slavery and human trafficking and is included within our regular compulsory training for all staff in the business to further ensure all staff are aware of all their rights and obligations. This training is also included in the new joiner induction, which is a requirement for all new, part and full-time staff. Our training aims to encourage all staff to be aware of potential signs of modern slavery throughout the Group including in relation to suppliers, clients and other counter parties.

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Support and Awareness

Through our whistleblowing procedure, staff are encouraged to report any concerns in confidence and anonymously with incidents escalated to the Board and the executive management team so that they can be dealt with effectively.

Regular engagement with staff including our annual online staff survey which enables people working at Charles Stanley to raise issues of concern, including worries over slavery, bullying and discrimination. Further surveys will take place regularly over the forthcoming financial year.

Supplier Due Diligence

The Procurement function continues to monitor suppliers and requires evidence that significant suppliers have confirmed their compliance with the MSA. During the 2024/25 review process, no contracts were terminated because of non-compliance. RJWM now utilises the Raymond James Group supplier monitoring system, ServiceNow, as a centralised supplier risk management tool.

We will continue to assess the modern slavery risk to our business, evaluate the effectiveness of the steps described above and determine whether further steps should be implemented.

Signed for and on behalf of Raymond James Investment Services by Peter Moores.

This statement was approved by the Board on 18 March 2025.

A handwritten signature in black ink, appearing to read 'Peter Moores', is written over a faint, light blue circular watermark background.

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Chief Executive Officer, Raymond James Investment Services

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Slavery and Human Trafficking

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