

## Modern Slavery Act 2015 Canaccord Genuity Limited Anti-Slavery and Human Trafficking Statement

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### Company Overview

Canaccord Genuity Limited is a wholly-owned subsidiary of Canaccord Genuity Group Inc in Canada. Our business is headquartered in London, with a branch office in Dublin, Republic of Ireland. We also have a subsidiary company in Paris, France.

Canaccord Genuity is a global, full service investment bank focussed on growth companies with operations worldwide. Canaccord Genuity Limited, which is authorised and regulated in the United Kingdom by the Financial Conduct Authority, has three main divisions: investment banking, sales and trading and equity research. Canaccord Genuity Limited employs over 200 staff as at 31 March 2019.

### Our Supply chains

Canaccord Genuity Limited's supply chain includes, but is not limited to;

- IT hardware and software;
- Building facilities and office supplies;
- Payroll services;
- Legal, accountancy and other professional intermediaries;
- Financial market data and news;
- Transaction related services and infrastructure

### Our Policies and Principles

We are committed to conducting business ethically and to ensuring that there is no slavery or human trafficking in our business or in our supply chains.

Staff are provided with training as part of the induction process to ensure they have a high level of understanding of the risks of modern slavery and human trafficking in our business and supply chains. Refresher training is provided as appropriate. We expect our suppliers to meet the same high standards.

We have in place a number of company and Group policies which address issues relevant to slavery and human trafficking, including:

- Codes of Conduct
- written employment practices and procedures which ensure fair recruitment and treatment of employees
- a written whistleblowing policy and procedure which enables employees to report in confidence and concerns of malpractice or other unethical behaviour, which would include any concern related to slavery and human trafficking issues.

### Our continuing commitment

We will continue to monitor and review our existing policies during the current financial year, with the aim of ensuring that slavery and human trafficking do not occur in any part of our business or our supply chains.

### Approved by the Board

This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes Canaccord Genuity Limited's slavery and human trafficking statement for the financial year ended 31 March 2019

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Alexis de Rosnay  
Chief Executive Officer  
Date: 5 April 2019