

UK STEWARDSHIP CODE & SRD DISCLOSURE

Statement of Compliance by Wood & Co Financial Services Ltd ("Wood Ltd")

Under chapters 2.2B and 2.2.3R of the FCA's Conduct of Business Sourcebook, Wood & Co Financial Services Ltd ("Wood Ltd" or the "Firm") is required to include on this website a disclosure about the nature of its commitment to the UK Financial Reporting Council's Stewardship Code and the Shareholders Rights Directive.

The UK Stewardship Code ('the Code') is a voluntary code which sets out a number of principles relating to engagement by investors with UK equity issuers. WOOD LTD generally supports and has committed to the objectives of the Code which is based on a "comply or explain" approach. This statement sets out how WOOD LTD applies the principles of the Code.

The twelve principles of the Code for Asset owners and Asset Managers (in our case, Asset Managers) are as follows:

Purpose and Governance:

1. Purpose, strategy and culture

Asset Managers' investment beliefs, strategy, and culture to facilitate long term value, via stewardship, for clients and beneficiaries leading to sustainable benefits for the economy, the environment and society.

2. Governance, resources and incentives

Asset Managers' governance, resources and incentives support stewardship.

3. Conflicts of Interest

Asset Managers should manage conflicts of interest to put the best interests of clients and beneficiaries first.

4. Promoting well-functioning markets



Asset Managers should identify and respond to market-wide and systemic risks to promote a well-functioning financial system.

5. Review and assurance

Asset Managers should review their policies, assure their processes and assess the effectiveness of their activities.

Investment Approach:

6. Client and beneficiary needs

Asset Managers should take account of client and beneficiary needs and communicate the activities and outcomes of their stewardship and investment to them.

7. Stewardship, investment and ESG integration

Asset Managers should systematically integrate stewardship and investment, including material environmental, social and governance issues, and climate change, to fulfil their responsibilities.

8. Monitoring managers and service providers

Asset Managers should monitor and hold to account third-party managers/proxy advisors/research or other service providers.

Engagement:

9. Engagement

Asset Managers should engage with issuers to maintain or enhance the value of assets.

10. Collaboration

Asset Managers, where necessary, should participate in collaborative engagement to influence issuers.



Exercising rights and responsibilities:

11. Escalation

Asset Managers, where necessary, should escalate stewardship activities to influence issuers.

12. Exercising rights and responsibilities

Asset Managers should actively exercise their rights and responsibilities across all asset classes.

Shareholders Rights Directive (the “Directive”)

This disclosure also serves as WOOD Ltd’s engagement policy for the purposes of Article 3g of the amended EU Shareholder Rights Directive (Directive 2007/36/EC). The Directive requires firms that invest in shares that trade on an EU regulated market to develop and publicly disclose an engagement policy or publicly disclose a clear and reasoned explanation of why it has chosen not to comply with this requirement.

Wood Ltd pursues an investment strategy to which the aims of the Code and the Directive are not relevant.

Consequently, while Wood Ltd supports the general objectives that underlie the Code and the Directive, the provisions of both are not relevant to the type of trading currently undertaken by the Wood Ltd. If the investment strategy changes in such a manner that the provisions of either the Code or the Directive become relevant, Wood Ltd will amend this disclosure accordingly.

For further information on the Firm’s approach contact:

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