

1. Corporate Information

Legal Entity Name	Aberdeen Platform Limited	Elevate Portfolio Services Limited ('EPSL')
Registered Address	1 George Street, Edinburgh EH2 2LL	280 Bishopsgate, London EC2M 4AG
Company website	aberdeenadviser.com	aberdeenadviser.com
Country of incorporation	Scotland	England
Date of incorporation	03 November 1997	13 Aug 1973
Company Number	SC180203	01128611
Legal form	H0PO	H0PO
Legal entity Identifier	549300R6JDOZTOUPKM60	2138009LKV8MTQNLPV29
Ultimate Parent Company	Aberdeen plc	Aberdeen plc
Parent Company Stock Exchange Listing	London Stock Exchange	London Stock Exchange
Parent Company ticker	ABDN	ABDN
Ultimate Beneficial Owner	Aberdeen plc	Aberdeen plc
External Audit	KMPG	KMPG

2. Regulatory

Legal Entity Name	Aberdeen Platform Limited	Elevate Portfolio Services Limited ('EPSL')
Regulatory Authority	Financial Conduct Authority	Financial Conduct Authority
Type of fund related business	Platform Service Provider	Platform Service Provider
Regulatory license number	188796	144849
Confirmed FACTA status	FFI (Foreign Financial Institution)	FFI (Foreign Financial Institution)
CRS Status	Confirmed	Confirmed
Target Market	Retail	Retail
Type of fund related activity	Reception and transmission of orders	Reception and transmission of orders
Jurisdiction of fund related activity	United Kingdom	United Kingdom
Type of licensed activity	Authorised and regulated	Authorised and regulated
Type of products that are distributed	<ul style="list-style-type: none"> • UCI (Undertakings for Collective Investment) • CIS (Common Investment Schemes) or other mutual funds • Wrapped products • Listed securities • Insurance products 	<ul style="list-style-type: none"> • UCI (Undertakings for Collective Investment) • CIS (Common Investment Schemes) or other mutual funds • Wrapped products • Listed securities
Nominee Company	FNZ UK Ltd	FNZ UK Ltd

3. Distribution

APL and EPSL make their platform services available to firms which are registered in the UK and regulated by the FCA. The firms distribute the products which are made available via the platforms to retail customers. The responsibilities of firms which advise retail customers on the selection of products include.

- suitability assessments
- ensuring the retail customers meet the eligibility criteria of the products
- AML, KYC and wealth checks.

All firms must agree to APL and EPSL's terms of business before being permitted to conduct business on the platforms.

APL and EPSL also make products available to non-advised retail customers. No complex funds are offered to these customers.

EPSL and APL make mandatory fund documentation available to firms and non-advised retail customers.

4. Policies and Procedures

We have the following independent and effective functions in place with supporting policies and procedures which comply with regulatory requirements where applicable. All are reviewed annually and require Board (or delegated) sign off.

Operations

- Data Protection and confidentiality
- Handling of complaints
- Best Execution
- Market timing and frequent trading
- Record retention

Compliance

- Anti-money laundering (AML) & Counter terrorist financing (CTF)
- Reporting of suspicious activities
- Code of conduct
- Anti-bribery and corruption
- Conflicts of interests (including inducements)
- Whistleblowing

Risk and Audit

- Business continuity
- Disaster recovery
- IT and data security
- Outsourcing
- Remuneration
- Risk management

5. Product Governance

We can confirm that policies and procedures are in place to perform due diligence on each fund to ensure compatibility with the platforms' target market and product governance requirements. Funds are only made available via the appropriate distribution channel, based on the fund manager's and our own assessment, with target market reporting provided monthly to fund managers. As a MiFID distributor we will never widen the distribution strategy advised by the fund manager.

For more information visit aberdeenadviser.com

Aberdeen Platform Limited, provider of Wrap platform, is registered in Scotland (SC180203) at 1 George Street, Edinburgh EH2 2LL and authorised and regulated by the Financial Conduct Authority. Aberdeen Platform Limited is part of the Aberdeen Group, which comprises Aberdeen Group plc and its subsidiaries.

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