



Ascot Political Engagement Statement

This Policy applies to all subsidiaries and affiliated entities of Ascot Wealth Management Limited, including its wealth management and advisory divisions (collectively referred to as "Ascot"). It does not apply to third-party investment managers or partner firms with which Ascot may collaborate. For information regarding the policies of such external partners, please refer to their respective corporate websites and compliance documentation.

Ascot recognizes the value of constructive dialogue with UK government officials, regulators, and policymakers on matters affecting wealth management, financial security, and retirement planning. We engage on issues impacting our clients and operations, including financial regulations, tax policies, and investment frameworks. All activities strictly comply with UK laws and Ascot's Governance & Ethics Policy, available at www.ascotwealthmgt.com/documentations. This statement outlines our principles for political engagement, including policy discussions and regulatory consultations.

Ascot does not make political contributions using corporate funds. Ascot Wealth Management does not utilize corporate funds for political contributions, in-kind donations, or support for any political candidates, parties, or ballot measures. This prohibition extends to contributions to political action committees (PACs), independent expenditure groups, or similar organizations. Our policy ensures all resources remain focused on client service and wealth management objectives.

Ascot Wealth Management sponsors a PAC funded solely through employee and Equitable Advisors financial professional contributions. Ascot Wealth Management maintains strict political neutrality and does not participate in any form of electoral campaigning or political donations. Unlike U.S.-style political action committees, we operate under UK regulations that prohibit corporate political contributions at all levels of government. Our engagement is exclusively limited to non-partisan consultations with regulatory bodies like the Financial Conduct Authority and HM Treasury on matters affecting the wealth management sector. All policy interactions are conducted in compliance with UK electoral law and FCA requirements, focusing solely on technical financial services matters rather than partisan politics. This approach reflects our commitment to impartiality and regulatory compliance in all jurisdictions where we operate.

All policy engagements and regulatory interactions are reviewed for compliance with UK laws and financial regulations by Ascot's Legal & Compliance Department, with final approval from the Executive Committee. As a UK-regulated entity, we disclose all required information to the Financial Conduct Authority in accordance with our regulatory obligations.

Ascot engages with government officials on issues affecting our business. Ascot Wealth Management engages in policy consultations through direct dialogue with UK regulators and via authorized industry associations. We focus exclusively on matters affecting wealth management regulations, investor protections, and financial market stability. This includes technical discussions with the FCA, HM Treasury, and parliamentary committees regarding financial services legislation and tax policies. All interactions comply with UK transparency registers and the Financial Conduct Authority's CONRED rules. While our advisors occasionally meet with public officials regarding institutional services, we strictly avoid political lobbying and maintain full compliance with the UK Lobbying Act 2014. All activities are recorded in our statutory disclosures.

Ascot belongs to trade associations that promote our industry. Ascot participates in UK financial services trade associations, including [UK Finance/Investment Association/PIMFA], which provide regulatory expertise and advocate for policies supporting wealth management clients. These memberships facilitate technical discussions with policymakers while maintaining strict compliance with FCA rules and the UK Lobbying Act. Associations offer critical guidance on evolving regulations, tax policies, and market standards that affect our clients' interests.

Governance and disclosure. Ascot's regulatory and policy engagements are overseen by our Compliance Department and General Counsel, with independent review by our Board's Risk Committee. We conduct annual audits of all interactions with policymakers, including trade association memberships and regulatory consultations, ensuring strict adherence to UK Bribery Act and FCA requirements. Summaries of permitted engagements are disclosed in our annual regulatory filings and published on our corporate website. This governance framework maintains transparency while focusing exclusively on financial services policy matters relevant to wealth management clients and market stability.

Effective as of September 21, 2021