

Equality and Diversity Principles

As part of the commitment to Equality of Opportunities the Company has adopted principles covering its policies, practices and procedures.

The Equality & Diversity Principles are applicable to all employees, job applicants and former employees, suppliers and contractors, whether permanent or temporary. It applies to all processes relating to employment, recruitment and training and to any dealings with customers and clients.

Equal Opportunities

Wealth Management is committed to eliminating discrimination and promoting equality and diversity in its own policies, practices and procedures and in those areas in which it has influence. These principles apply to employees, job applicants and any contractors or self-employed person engaged by the Company other clients and third parties.

The Company will treat everyone equally and with the same attention, courtesy and respect and will not discriminate against any person, nor victimise or harass them on any prohibited grounds or in the course of its day to day interaction.

Protected characteristics include age, disability, gender reassignment, race, nationality, ethnic or national origin, religion or belief, sex, sexual orientation, marital or civil partner status, pregnancy or maternity, employment status or other differences that cannot be justified.

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Any discrimination, harassment or victimisation on the grounds of a protected characteristic is unlawful. Discrimination can be:

- Direct discrimination - where someone is treated less favourably than another person because of a protected characteristic.
- Associative discrimination - this is direct discrimination against someone because they are associated with another person who possesses a protected characteristic, for example, a person caring for a disabled child or relative.
- Discrimination by perception - this is direct discrimination against someone because others think that they possess a particular protected characteristic. They do not necessarily have to possess the characteristic, just be perceived to.
- Indirect discrimination - this can occur when there is a rule or policy that applies to everyone but disadvantages a person with a particular protected characteristic.

Harassment is behaviour that is deemed offensive by the recipient. Employees can complain about behaviour they find offensive even if it is not directed at them.

Victimisation occurs when someone is treated badly because they have made or supported a complaint or grievance under this legislation.

Diversity

Diversity is a wider concept that builds upon equal opportunities. Everyone is different and diversity is about recognising, respecting and valuing the differences we each bring to work.

Equal opportunities and diversity work together by addressing the inequalities and barriers faced by people in under-represented groups and by valuing, learning and benefiting from the diverse cultures in society and our staff

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Statement

The Company will create a working environment which is free from discrimination, victimisation and harassment and which respects the diverse backgrounds and beliefs of members of the Company.

No employee or prospective employee or other individual will receive less favourable treatment or be disadvantaged by any circumstances, conditions or requirements that cannot be justified.

Management will make every effort to ensure they will not unreasonably exclude any individual from access to any activities, facilities or services, or any employment opportunities, that they offer.

The Company will treat all members of the Company and job applicants equally and fairly and not discriminate unlawfully against them. This will, for example, include arrangements for recruitment and selection, terms and conditions of employment, access to training opportunities, access to promotion and transfers, grievance and disciplinary processes, demotions, selection for redundancies, dress code, references, work allocation and any other employment related matters.

Every employee is entitled to expect equality of opportunity in all aspects of their employment including its terms and conditions. All workers will be made aware of this statement and its implications for them.

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What we expect

Whilst the responsibility for creating and monitoring a culture of equality of opportunity rests with the Company, its success relies on each employee, supplier and contractor playing their part.

Everyone has a number of responsibilities including;

- Complying with measures that are introduced to ensure equality of opportunity and non-discrimination.
- Not to discriminate when applying processes relating to recruitment and selection, training and development, advancement, performance management, transfer, redeployment, discipline, retirement, dismissal or redundancy, benefits, facilities and services.
- Not to induce, or attempt to induce other employees or management to discriminate.
- Not to victimise an individual on the grounds that they have made complaints or provided information about discrimination or harassment.
- Not to harass, abuse or intimidate another employee on any grounds.

Promoting equality and diversity

All those who act on the Company's behalf will be informed of the Equality and Diversity Principles and will be expected to pay due regard to them when conducting business on the Company's behalf.

In all its dealings, including those with suppliers, contractors and recruitment agencies, the Company will seek to promote the principles of equality and diversity.

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Complaints of discrimination

The Company will treat all complaints seriously and will take action where appropriate concerning any complaints of breaches made by members of the Company, contractors, suppliers or other third parties.

Allegations of discrimination will be treated in confidence as far as it is possible to do so. All complaints will be investigated in accordance with the Firm's grievance, disciplinary and/or complaints procedures and where appropriate the complainant will be informed of the outcome. Where an employee is required to answer to allegations of discrimination it may not be possible to maintain anonymity for the complainant.

Staff who make allegations of discrimination in good faith will not be victimised or treated less favourably as a result. Allegations of discrimination which are found to have been made in bad faith will be dealt with under the disciplinary procedure. Staff who are found to have committed an act of discrimination may be subject to disciplinary action and where there is gross misconduct this may result in summary dismissal.

Monitoring and review

Management are responsible for monitoring the effective implementation of the Equality & Diversity Principles with overall responsibility for its implementation remaining with the Business.

All aspects of HR policies and procedures shall be kept under review as part of this in order to identify the effectiveness of implementation.

These principles are non-contractual and do not form any part of your contract of employment.

The Company reserves the right to amend or change these principles from time to time.