

RAMPART CAPITAL LLP

MIFIDPRU 8 DISCLOSURE

Financial Year Ended 31 March 2023

1. INTRODUCTION

1.1. Background

Rampart Capital (“the Firm”) is prudentially regulated as an SNI MIFIDPRU investment firm. The Firm is Authorised as an investment manager and acts as alternative investment manager, investment advisor and transaction arranger for discretionary and advisory customers. It is permitted to act only for professional customers. The Firm is authorised and regulated under UK legislation by the Financial Conduct Authority (“FCA”).

1.2 Scope of Application

Due to its ownership structure, the Firm is not a member of an investment firm group and therefore is required to issue disclosures on an individual basis for prudential purposes.

1.3 Disclosure Policy

This Disclosure is in line with the most recent published financial statements for the Firm as at 31 March 2023.

The MIFIDPRU Disclosure obligations, under MIFIDPRU chapter 8, require publication on an annual basis. The FCA expects this to be published on the Firm’s website or through an alternative method if the Firm does not maintain a website. This Disclosure will be assessed and amended if there are any material changes within the period of Disclosure.

This Disclosure has been approved by the governing body of the Firm and are not subject to audit, except where they are prepared under accounting requirements for publication.

2. REMUNERATION

2.1 Approach to Remuneration

The Firm does not link remuneration directly to the performance of the Firm, or that of the Group, rather, the Firm’s performance may be a factor in determining variable remuneration. The Firm also considers its non-financial criteria when assessing remuneration.

The Firm does not pay any variable remuneration at this time. The Firms remuneration structure is designed to allow the Firm to maintain a sound capital base, and to ensure that employees are not encouraged to take excessive risk taking.

The Firm oversees and manages its risks through a combination of routine monitoring of policies and procedures, an efficient reporting process, an annual independent audit Street Whittles LLP, a Compliance Manual, and the use of an independent outsourced compliance adviser IQEQ Compliance Services Limited.

2.2 Remuneration Objectives

The Firm’s financial incentives are designed to attract and retain employees with the appropriate skills, knowledge and expertise to enable the Firm to deliver its long-term strategic goals, widen its client base and expand into similar areas of business as and when the appropriate opportunities arise, in each case in a manner which is consistent with and which promotes effective risk management and does not expose the Firm to excessive risk.

2.3 Remuneration Governance

The Firm has in place a Remuneration Policy which is approved by the Board at least annually.

The Firm does not meet the criteria to form a remuneration committee under SYSC 19G. In view of the nature and size of the Firm, the Board does not believe it is proportionate to have a Remuneration Committee but will periodically monitor the remuneration practices of the Firm to determine if the implementation of such a committee would enhance its practices. The Board has oversight of the Firm’s remuneration policies and refers to

its remuneration Terms of Reference and the MIFIDPRU remuneration code. Furthermore, the Firm ensures that the Firm's standards, fairness, compliance objectives, corporate governance and maintaining a sound capital base are not compromised by its remuneration incentives. The Firm has used external consultants to assist in the development of its remuneration policies and practices.

2.4 Total Remuneration

Remuneration	Total for Firm (£)
Total Remuneration	221,850.85
Of which:	
Fixed Remuneration	221,850.85
Variable Remuneration	0.00