

# Coller Capital Limited

## MIFIDPRU Public Disclosure Statement – FYE 31 March 2022

### 1. INTRODUCTION

#### 1.1 Purpose

Coller Capital Limited (FRN 172405) (the "**Firm**") is authorised and regulated by the Financial Conduct Authority (the "**FCA**"). The Firm is part of the Coller Capital group (the "**Group**"), which is an alternative asset management group specialising in private assets secondary investments.

This document (the "**Disclosure Statement**") sets out the information the Firm is required to disclose annually under chapter 8 of the MIFIDPRU Sourcebook in the FCA Handbook of Rules and Guidance. All information is as at the date on page 1 unless otherwise indicated.

#### 1.2 Scope

The information in this Disclosure Statement relates to the Firm on an individual basis – i.e. it does not concern any other entities in the Group.

Unless otherwise noted, the information contained in this Disclosure Statement has not been audited by the Firm's external auditors and does not constitute any form of financial statement and should not be relied upon in making any judgment on the Firm.

### 2. GOVERNANCE ARRANGEMENTS

#### 2.1 Role of the board of directors

The Firm is governed by its board of directors (the "Governing Body"). The Firm is required to ensure that the Governing Body defines, oversees and is accountable for the implementation of governance arrangements that ensure effective and prudent management of the Firm, including the segregation of duties in the Firm and the prevention of conflicts of interest, and in a manner that promotes the integrity of the market and the interests of clients.

The Firm seeks to achieve this through several means, including:

- adopting an appropriate process for appointments to the Governing Body;
- the appointment of non-executive directors to the Governing Body;
- processes for the functioning of the Governing Body, including reporting of management information on risks the Firm is or might be exposed to, or the Firm poses or might pose to others;
- obligations under the FCA Senior Managers and Certification Regime, as part of which certain senior members of staff ("**Senior Management Function-holders**") are required to be approved by the FCA and a number of other members of staff are required to be certified by the Firm as fit and proper to perform their roles;
- legal obligations applicable to members of the Governing Body under the Companies Act 2006;
- policies and procedures, including in particular the Firm's compliance framework, conflicts of interest policy, remuneration policy, and its policies on personal investments and market abuse;
- regulatory obligations, supported by regulatory guidelines to ensure that:

- individually, the members of the Governing Body are of sufficiently good repute, possess sufficient knowledge and experience to perform their duties, commit sufficient time to the role and demonstrate honesty, integrity and independence of mind; and
  - the Governing Body as a whole possesses adequate collective knowledge, skills and experience to understand the Firm's activities, including the main risks and reflect an adequately broad range of experiences; and
- the appointment of legal advisers, compliance consultants and other advisers as required from time to time.

## 2.2 Composition of the Governing Body

The members of the Firm's Governing Body are set out in the following table, together with the number of additional directorships held by each member, excluding directorships: (i) held in organisations which do not pursue predominantly commercial objectives; or (ii) in entities within the Group or in entities in which the Firm holds a qualifying holding.

<b>Name</b>	<b>Number of additional directorships (executive and non-executive)</b>
Jonathan Asquith	7
Alison Carnwath	6
Jeremy Coller	4
Remy Kawkabani	-
Helen Lamb	2
Michael Queen	5

## 2.3 Diversity of the Governing Body

The Firm is committed to promoting diversity and equal opportunities for staff throughout the Firm, including on its Governing Body. The Firm believes that diverse and inclusive teams make better decisions, and this informs the Firm's recruitment and retention strategies, both across the organisation as a whole and at the level of its Governing Body.

All appointments are made on merit against objective criteria, and with regard to the individual's knowledge, skills and experience and the combined knowledge, skills, experience and diversity of the Governing Body as a whole.

## 2.4 Risk governance

The Firm has a well-established risk management framework in relation to the operational risks facing the business as well as those associated with the Firm's investment activities. The Governing Body is ultimately responsible for the Firm's overall risk management and for maintaining an appropriate internal control framework.

In accordance with MIFIDPRU 7.1.4R, the Firm is not currently required to maintain a Risk Committee.

**SCHEDULE 1 – OWN FUNDS**

<b>Composition of regulatory own funds</b>			
	<b>Item</b>	<b>Amount (GBP thousands)</b>	<b>Source</b>
<b>1</b>	<b>OWN FUNDS</b>	<b>8,526</b>	
<b>2</b>	<b>TIER 1 CAPITAL</b>	<b>9,106</b>	Called up share capital and retained earnings
<b>3</b>	<b>COMMON EQUITY TIER 1 CAPITAL ("CET 1")</b>	<b>9,106</b>	Called up share capital and retained earnings
4	Fully paid up capital instruments	50	
5	Share premium	-	
6	Retained earnings	9,056	
7	Accumulated other comprehensive income	-	
8	Other reserves	-	
9	Adjustments to CET1 due to prudential filters	-	
10	Other funds	-	
11	TOTAL DEDUCTIONS FROM CET 1	(580)	Intangible assets and deferred tax asset
12	CET1: Other capital elements, deductions and adjustments	-	
13	<b>ADDITIONAL TIER 1 CAPITAL</b>	-	
14	<b>TIER 2 CAPITAL</b>	-	

<b>Own funds: reconciliation of regulatory own funds to balance sheet in the audited financial Statements</b>			
<b>Balance sheet as in published/audited financial statements as at 31 March 2022</b>			
<b>Assets – breakdown by asset classes according to balance sheet in audited financial statements</b>			
1	Tangible assets		360
2	Intangible assets		518
3	Deferred tax asset		62
4	Debtors		30,506
5	Cash at bank and in hand		7,245
xxx	<b>Total Assets</b>		<b>37,813</b>
<b>Liabilities - breakdown by liability classes according to balance sheet in audited financial statements</b>			
1	Creditors		(29,584)
xxx	<b>Total Liabilities</b>		<b>(29,584)</b>
<b>Shareholders' Equity</b>			
1	Called up share capital		50
2	Retained earnings		9,056
xxx	<b>Total Shareholders' equity</b>		<b>9,106</b>

## SCHEDULE 2 – BASIC OWN FUNDS REQUIREMENTS

	Category of requirement	Amount (GBP thousands)
<b>1</b>	<b>PERMANENT MINIMUM REQUIREMENT</b>	75
<b>2</b>	<b>FIXED OVERHEADS REQUIREMENT</b>	6,295
<b>3</b>	<b>K-FACTOR REQUIREMENT</b>	4,400
<b>A</b>	<i>K-AUM (assets under management)</i>	<i>4,400</i>
	<b>BASIC OWN FUNDS REQUIREMENT (HIGHEST OF ROWS 1-3)</b>	<b>6,295</b>