

Equiniti Group Ethical Business Policy Statement

1. Introduction

Here at Equiniti we keep things running smoothly for some of the world's best known brands and public sector organisations. We exist to create value for our clients and their customers by putting them first, investing in our people, striving for better performance, and developing our expertise.

We aim to conduct all our business in an ethical manner and in order to fulfil this, we abide by the following set of principles in all of our activities:

2. Delivery

We conduct our business ethically and responsibly, and in line with regulatory requirements

Principles outlined in Equiniti's Conduct of Business Policy include acting with integrity and honesty at all times, taking reasonable care to organise and control affairs responsibly and effectively, with adequate risk management systems in place. We observe proper standards of market conduct, and manage any conflicts of interest fairly.

We value our client relationships above all else

We exist to create value for our clients and their customers by putting them first. In acting as a Trusted Partner to a large and diverse client base, we look after their best interests, invest time in understanding client needs, and communicate information in a way that is clear, fair and not misleading.

We strive to put the customer at the centre of everything we do

Our aim is that our customers have experiences with us which are easy, reassuring, human, and where we get things right first time. We ensure our actions will stand up to public scrutiny at all times, and take a proactive and positive approach to customer feedback.

We recognise that we have a duty of care to our customers, and that this includes some of the most vulnerable in our society. We protect the rights of all customers, and have robust policies and training in place for all customer-facing roles, with the aim that colleagues build advocacy with our customers so that they would recommend Equiniti to others.

We invest in and support our people to succeed

Equiniti colleagues are experts in their fields, and are vital to the continuing success of our business. In order to nurture existing talent and attract the best to join us, we provide a supportive environment, with career progression opportunities, stretching talent programmes, senior leadership and sales development, and a strong Reward offering.

We encourage passion and innovation, and want colleagues to enjoy coming to work and share in our success at every turn.

We want all Equiniti colleagues to thrive in a supportive environment, protected by robust Human Resources policies, and we do not tolerate harassment or victimisation on any grounds. We have developed a strong culture of diversity and inclusion, demonstrated by our growing, Exec-led Diversity Council and Networks.

We develop and deploy robust internal policies to ensure we act ethically

We have a range of supporting policies in place to support the above principles including the following:

- Human Rights Policy
- Environmental Policy
- Conduct of Business Policy
- Anti-Bribery and Corruption Policy
- Anti- Money Laundering Policy
- Conflicts of Interest Policy
- Whistleblowing Policy
- Modern Slavery Policy
- Diversity and Inclusion Policy
- Customer Treatment Policy
- Vulnerable Customers Policy
- Corporate and Social Responsibility Policy

3. Governance

This Policy Statement applies to all employees and business divisions within the Equiniti Group, regardless of geographic location.

This Policy Statement has been approved by the Equiniti Group plc board of directors and will be reviewed and updated at least annually.