

CACEIS'

**C**ORPORATE

**S**OCIAL

**R**ESPONSIBILITY

POLICY

# CACEIS is committed to the Crédit Agricole SA Group's CSR policy...

Building on its desire to be a cooperative and mutualist company through a long-standing sustainable commitment, the Crédit Agricole SA Group adopted in 2019 a **company purpose** that commits us “to act every day in the interest of our customers and of society”.

The “Ambitions 2025” Group Project was designed to align with the United Nations' Sustainable Development Goals and to **anchor the groups' corporate social responsibility objectives into all its activities, businesses and processes**, through a set of clearly defined objectives.

- The fight against climate change is **at the heart of Crédit Agricole Group Societal Project**
- In 2019, Crédit Agricole Group joined the UN's Collective Commitment to Climate Action and signed the Principles for Responsible Banking
- The Group also committed to supporting energy transition initiatives whilst working to achieve a more inclusive economy.

## ... and acts for its own transformation

Recognising its own social and environmental impacts, and aware of its duty to lead by example, **CACEIS, through a robust CSR strategy, has been measuring its direct environmental footprint for many years** and continuously implementing action plans aimed at reducing it.

- Monitoring or reducing CACEIS' direct impacts through:
  - 1. A Responsible Purchasing Policy**, implemented several years ago. It aims to fulfil our supplier requirements while ensuring human rights, child labour and environmental issues are respected throughout the value chain.
  - 2. A carbon footprint reduction policy**, focused on reducing our energy consumption and the amount of waste we produce.
- CACEIS also aims to raise staff awareness on external shareholders, by empowering them on **ethical practices** and respect of human rights.

# As a trusted third party, CACEIS wants to act for a sustainable society

In today's constantly-changing landscape, CACEIS' core mission is to be a **reliable trusted third party** for our clients. We achieve this by **creating sustainable value** which in turn enables them to pursue their business development objectives in a sustainable manner.



CACEIS has a **duty to lead by example** towards direct social and environmental impacts.



CACEIS delivers **innovative solutions** to the post-market space, along with a wide range of **robust and flexible operational services**.



CACEIS helps clients **focus on their investment strategy** by providing them with powerful data analytics tools and flexible reporting platforms.



**With ethics and security** at the core of its business, CACEIS assists clients in managing risk, including ESG-related risk.

# CACEIS' CSR policy rests on **3 pillars**

1

## SUPPORTING OUR CLIENTS WITH CONFIDENCE AND SECURITY

As a solid and innovative company, CACEIS is always looking for new client-driven solutions.

CACEIS assists its clients in managing risk, such as ESG-related risk, as well as in fulfilling their regulatory obligations.

CACEIS' Code of conduct establishes the high standards of accountability and quality required in all professional settings as well as our commitment to servicing excellence for clients and shareholders.

2

## ACTING FOR THE ENERGY AND ENVIRONNEMENTAL TRANSITION

CACEIS' ESG strategy reflects its goal to address climate change and promote the transition to a carbon-neutral economy by helping clients fulfil regulatory obligations related to ESG factors and evaluate portfolios' ESG score.

CACEIS feeds its own data into Greenway, the Crédit Agricole Group's ESG reporting platform, developed in 2020. It centralises non-financial data to analyse societal impacts and carbon footprint.

CACEIS is also working towards reducing its own carbon footprint.

3

## BEING A RESPONSIBLE AND COMMITTED EMPLOYER

CACEIS pursues a social policy aimed at promoting the development of skills for employees at all levels.

Voluntary programmes dealing with compliance, diversity, equity and quality life at work, strengthen teams' ethical awareness, commitment and motivation.

Our managerial programme aims to strengthen independence of action and management decision-making, within trust-based framework.

# CACEIS' CSR policy rests on 3 pillars and **12 commitments**

1

## SUPPORTING OUR CLIENTS WITH CONFIDENCE AND SECURITY

- 1.** Ensure Group-wide ethical practices
- 2.** Manage risk and support regulatory changes
- 3.** Leverage innovation to add value to clients' business
- 4.** Ensure robust data security and protection

### SDGs CONCERNED



3

## BEING A RESPONSIBLE AND COMMITTED EMPLOYER

- 9.** Promote the commitment of our employees
- 10.** Strengthen employee employability
- 11.** Promote diversity and inclusion as a resource for performance
- 12.** Support organisational change

### SDGs CONCERNED



2

## ACTING FOR THE ENERGY AND ENVIRONMENTAL TRANSITION

- 5.** Reduce environmental footprint
- 6.** Reduce paper usage and data storage impacts
- 7.** Strengthen the integration of ESG criteria in our products and services
- 8.** Be useful to territories

### SDGs CONCERNED



## UN SUSTAINABLE DEVELOPMENT GOALS

In 2015, the United Nations Member States adopted the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs), which provide a blueprint for achieving a better and more sustainable future for all. The SDGs address major global challenges related to poverty, inequality, climate change, environmental degradation, prosperity, peace and justice.

CACEIS integrates them into its sustainable transformation policy via initiatives run as part of its **CSR policy**.



# PILLAR

## 1

### SUPPORT OUR CLIENTS WITH CONFIDENCE AND SECURITY

## CACEIS' commitments

### 1 ENSURE GROUP-WIDE ETHICAL PRACTICES

- Strengthen CACEIS' **ethics culture** with initiatives around the Ethics charter and CACEIS' Code of conduct (annual quiz on ethics)
- Maintain our commitments and **certifications** (EcoVadis, Responsible purchasing certification, ISO 9001:2015, etc.)
- 100% of staff complete compliance training

### 2 MANAGE RISK AND SUPPORT REGULATORY CHANGES

- **Manage ESG risks** of all CACEIS businesses
- **Train staff and managers** on new ESG regulatory requirements
- Actively contribute to market initiatives (Regulators and Professional Associations)

### 3 LEVERAGE INNOVATION TO ADD VALUE TO CLIENTS' BUSINESS

- **Promote real-time transparency** on activities through the use of powerful tech
- **Simplify access** to ESG data
- Make ESG data easy to understand for our clients

### 4 ENSURE ROBUST DATA SECURITY AND PROTECTION

- Work to **improve the robust nature of our systems**
- **Enhance digital security** and ensure staff are well-trained

# PILLAR 2

## ACTING FOR THE ENERGY AND ENVIRONMENTAL TRANSITION

### CACEIS' commitments

#### 5 REDUCE ENVIRONMENTAL FOOTPRINT

- Pursue **greenhouse gas emission reduction initiatives** at our premises (energy saving, eco-choices, etc.)
- Reduce business travel and favour train over plane, promote working-from-home
- **Reduce waste** production, such as **single-use plastics**, and promote recycling

#### 6 REDUCE PAPER USAGE AND DATA STORAGE IMPACTS

- Embrace a zero-paper approach with clients and for daily operations
- Launch a **Green IT approach** for employees
- **Encourage suppliers**, especially IT and data management partners, **to adopt an CSR policy** (and EcoVadis rating)

#### 7 STRENGTHEN THE INTEGRATION OF ESG CRITERIA IN OUR PRODUCTS AND SERVICES

- Strengthen our **ESG reporting offer** throughout our business lines to better support our clients' own ESG-related initiatives
- Integrate Crédit Agricole SA Group's Greenway platform
- Ensure a **15% weighting for CSR** issues in our tender process with suppliers and partners (Responsible Purchasing policy)

#### 8 BE USEFUL TO TERRITORIES

- Assist the agricultural sector in its **sustainable development initiatives**
- **Continue on our partnerships** with Reforest'Action (36,000 trees planted), Plastic Odyssey, the Grameen Foundation, Livelihoods, Le Village Start-up incubator
- Favour local purchasing

# PILLAR 3

## BEING A RESPONSIBLE AND COMMITTED EMPLOYER

### CACEIS' commitments

#### 9 PROMOTE THE COMMITMENT OF OUR EMPLOYEES

- Gauge staff sentiment through **annual satisfaction surveys**, and strengthen **our brand as an employer** along with **group loyalty** through interactive initiatives
- Provide an office environment suited to modern ways of working with projects such as One Building in France and Glacis 2.0 in Luxembourg
- Pursue our commitments to ensuring **quality of life** at work with the «New Ways of Working» project, and psychosocial risk prevention

#### 10 STRENGTHEN EMPLOYEE EMPLOYABILITY

- Strengthen resources for providing staff with **continuous professional development** training
- Ensure our employees **opportunities** to grow with increasing internal mobility and the introduction of continuous multi-source feedback
- Set up "Project" and "Expertise" career tracks to diversify career progression possibilities

#### 11 PROMOTE DIVERSITY AND INCLUSION AS A RESOURCE FOR PERFORMANCE

- **Raise the proportion of women** in our management bodies to meet a 40% target
- Ensure social diversity within teams by establishing a welcome policy for young recruits and better integration of senior employees
- Roll out awareness campaigns and training initiatives **to combat discrimination and decision-making bias**

#### 12 SUPPORT ORGANISATIONAL CHANGE

- **Support independence of action initiatives**, and accelerate changes to our managerial model by applying the pledges in Crédit Agricole Group's Human Project
- Ensure a **transparent and socially responsible dialogue** with staff and train them on the subject
- **Create a network of change ambassadors** to disseminate innovation ideas and best practices

# CACEIS, with its many commitments, sees its CSR policy recognised



From a pool of some 60,000 companies worldwide assessed by EcoVadis, CACEIS received a Silver rating, and an overall score of **62**.

- **Overall score:** CACEIS SA (Group) is in the top **23%** of companies rated by EcoVadis in the Financial service activities, except insurance and pension funding industry.
- **Labour & Human Rights:** CACEIS SA (Group) is in the top **19%** of companies rated by EcoVadis in the Financial service activities, except insurance and pension funding industry.

These ratings reflect **CACEIS' long-standing commitment to sustainable strategies**, and environmental, social and governance policies for our clients, staff and suppliers.

**The INDR**, Luxembourg's National Institute for Sustainable Development and Corporate Social Responsibility, renewed CACEIS Luxembourg's CSR certification for the third year running.

At the beginning of 2020, CACEIS in Germany was the first custodian to receive a AA rating from ratings agency, **TELOS**.

# CRÉDIT AGRICOLE SA GROUP COMMITMENTS

For more than 20 years, Crédit Agricole has demonstrated its commitment to ESG issues through varied initiatives

## › SIGNATORY

- United Nations Global Compact since 2003
- Equator Principles since 2003
- Principles of Responsible Investment since 2006
- Diversity charter since 2008
- Responsible purchasing charter since 2010
- Energy Efficiency Charter for Tertiary Buildings since 2013
- Science Based Targets since 2016
- RE 100 since 2016
- Parenthood Charter since 2008
- *Principles for Responsible Banking and the Collective Commitment to Climate Action* since 2019
- *Business For Inclusive Growth (B4IG)* since 2019
- *Poseidon Principles* since 2019
- *One Planet Sovereign Wealth Fund Asset Manager Initiative* since 2019
- *Tobacco Free Finance Pledge* since 2020
- *Net-Zero Banking Alliance, Net-Zero Asset Owner Alliance, Net-Zero Asset Manager Initiative* since 2021

## › PARTICIPANT

- The World Bank initiative for carbon pricing in 2014
- Montreal Carbon Pledge since 2015
- Paris agreement on Climate since 2015
- Task Force on Climate Disclosure since 2017
- Climate Action 100 + since 2017
- The Asia Investor Group on Climate Change (AIGCC) since 2020

## › CO-FOUNDER MEMBER

- Green Bond Principles since 2014
- Portfolio Decarbonisation Coalition since 2014
- Mainstreaming Climate Action within Financial Institutions since 2015
- Catalytic Finance Initiative since 2015
- French Business Climate Pledge since 2015
- Low-Carbon Buildings Association (BBCA) since 2015
- Finance for Tomorrow since 2017

## › OTHER POSITIONS

- Modern Slavery Statement since 2017

## Production and Design

Human Resources Division  
Communications Division  
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[WWW.CACEIS.COM](http://WWW.CACEIS.COM)



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INVESTOR SERVICES