

CACEIS'

CORPORATE

SOCIAL

RESPONSIBILITY

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”.

Willing to anchor its societal responsibility into all activities, businesses and processes, the Group Project “Ambitions 2022” translated the desire to further contribute to the United Nations' Sustainable Development Goals, through clearly defined objectives.

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

- Controlling or reducing CACEIS' direct impacts through:
 - 1. Our Responsible Purchasing Policy**, that has been installed for a few years. It aims at fulfilling our suppliers' demands and preventing any risks related to human rights, child labour or environmental impacts that may occur along the value chain.
 - 2. Our policy of controlling our direct carbon footprint**, with the main objectives of reducing energy consumption and promoting a circular economy.
- CACEIS also aims at raising its employees' 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 a demanding and constantly changing environment, CACEIS' mission is to fully pursue its **role as a trusted third party** with its customers. This is achieved by **creating sustainable value** and thereby enabling their activities to develop in a healthy manner.



CACEIS has a **duty of exemplarity** towards its direct social and environmental impacts.



CACEIS offers **innovative solutions** on post-market processes and a wide range of operational services with **high flexibility and robustness**.



CACEIS helps customers **focus on their investment strategy and decisions** by providing them with robust data analysis and reporting tools.



With respect for ethics and security, CACEIS supports its customers in managing their risks, including ESG and climate risks.

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

1

SUPPORTING OUR CUSTOMERS WITH CONFIDENCE AND SECURITY

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

CACEIS supports its clients in managing their risks, including ESG and climate risks, and in the implementation of their regulatory obligations.

CACEIS' code of conduct translates the high standards of accountability and quality set for all professional actions as well as the determination to serve our clients and shareholders needs to the highest standards.

2

ACTING FOR THE ENERGY AND ENVIRONMENTAL TRANSITION

CACEIS' ESG strategy reflects its objective to support the climate and carbon-free transition by helping our clients in the implementation of their ESG and Climate regulatory obligations as well as the evaluation of their portfolios.

CACEIS inserts its data in Greenway, the Crédit Agricole Group's unique reporting platform, developed in 2020. It supports the collection of extra-financial data in order to measure societal impacts and carbon footprint.

CACEIS also pursues actions towards its carbon footprint reduction.

3

BEING A RESPONSIBLE AND COMMITTED EMPLOYER

CACEIS leads a social policy that favours the development of skills for employees at all levels.

Ambitious programs around conformity, diversity, justice and quality of life at work strengthen ethics, commitments and our teams' motivation.

Our managerial program aims at strengthening autonomy and decision making, in a trusted environment.

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

1

SUPPORTING OUR CUSTOMERS WITH CONFIDENCE AND SECURITY

1. Ensure an ethical culture in business and operations
2. Manage all risks and support regulatory changes
3. Innovate to provide value-added solutions
4. Ensure robust data security and protection

SDGs CONCERNED



2

ACTING FOR THE ENERGY AND ENVIRONMENTAL TRANSITION

5. Reduce our environmental footprint
6. Dematerialize paper-intensive activities and reduce the impact of data storage
7. Strengthen the integration of ESG criteria in our products and services
8. Be useful to our territories

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 transformations

SDGs CONCERNED



THE 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 fully in its sustainable transformation thanks to concrete actions implemented through its **CSR policy**.



PILLAR

1

SUPPORT OUR CUSTOMERS WITH CONFIDENCE AND SECURITY

CACEIS' commitments

1 ENSURING AN ETHICAL CULTURE IN BUSINESS AND OPERATIONS

- Strengthen CACEIS' **ethical culture** with actions around the Ethics charter and CACEIS' Code of conduct (annual ethical quiz)
- Maintain our commitments and **certifications** (EcoVadis, Responsible Purchasing certification, ISO 9001:2015 ...)
- 100% employees trained in compliance

2 MANAGE ALL RISKS AND SUPPORT REGULATORY CHANGES

- **Manage ESG and Climate risks** of all CACEIS' businesses
- **Train** collaborators and managers in new ESG regulatory obligations
- Actively contribute to market initiatives (AMF, AFTI ...)

3 INNOVATE TO PROVIDE VALUE-ADDED SOLUTIONS

- Promote **transparency** in real-time activities
- Promote **accessibility of ESG / Climate data**
- Make ESG / Climate data easily available for our customers

4 ENSURE DATA SECURITY AND PROTECTION

- Strengthen our **systems' robustness**
- Strengthen **Cyber security** and train employees

PILLAR 2

ACT FOR THE ENERGY AND ENVIRONMENTAL TRANSITION

CACEIS' commitments

5 REDUCE OUR ENVIRONMENTAL FOOTPRINT

- **Continue greenhouse gas emissions reduction actions** in buildings (energy-saving operations, eco-habits ...)
- Reduce professional travel and favour train over plane, promote teleworking
- Reduce **waste**, in particular **single-use plastic** and recycle

6 DEMATERIALIZE PAPER-INTENSIVE ACTIVITIES AND REDUCE THE IMPACT OF DATA STORAGE

- Embrace a zero-paper approach with clients and for daily operations
- Launch a **Green IT approach** for employees
- **Prompt suppliers**, mostly IT suppliers and data providers, **to have an CSR approach** (EcoVadis evaluation)

7 STRENGTHEN THE INTEGRATION OF CSR CRITERIA IN OUR PRODUCTS AND SERVICES

- Develop our ESG / Climate **reporting offer** to better support our customers in the environmental transition
- Integrate the Greenway platform of Crédit Agricole SA Group
- Include a **15% CSR notation** in all tender processes for suppliers and partnerships (Responsible Purchasing policy)

8 BE USEFUL TO OUR TERRITORIES

- **Support the transitions** and developments in the agricultural sector
- **Carry on our partnerships** with Reforest'Action (36 000 planted trees), Plastic Odyssey, Grameen Foundation, Livelihoods, Innovation Village
- Favour local purchasing

PILLAR 3

BE A RESPONSIBLE AND COMMITTED EMPLOYER

CACEIS' commitments

9 PROMOTE THE COMMITMENT OF OUR EMPLOYEES

- Listen to our employees with an **annual satisfaction survey and strengthen our employer brand** and **pride in a participatory fashion**
- Offer a work environment adapted to the new ways of working with projects One Building in France and Glacis in Luxembourg
- Pursue commitments on **quality of life at work** by « New Ways of working Project » and preventing psychosocial risks

10 STRENGTHEN EMPLOYEE EMPLOYABILITY

- Involve collaborators in the **continuous development of their skills and knowledge** with increased resources
- Offer our employees **opportunities** to grow with increasing internal mobility and the introduction of continuous multi-source feedback
- Implementing Project and Expertise tracks to diversify career progression

11 PROMOTE DIVERSITY AND INCLUSION AS A RESOURCE FOR PERFORMANCE

- Increase the **number of women** in managing bodies up to 40%
- Value plurality of profiles in teams especially by promoting a youth welcoming policy and the integration of senior employees
- Lead awareness and training actions to fight against **discriminations and decision-making biases**

12 SUPPORT TRANSFORMATIONS

- Promote **employees' autonomy and initiatives** and accelerate the transformation of our managerial model through the implementation of the Crédit Agricole Group Human Project
- Pursue a **responsible and transparent social discussion** and train our employees on this topic
- **Create a network of transformation actors** to broadcast innovation and good practice

CACEIS, recognised in its commitments, sees its CSR policy rewarded



Among 60,000 companies evaluated in the world by EcoVadis, CACEIS was rewarded with the Gold medal, with a global notation of **70**.

Global score: CACEIS is in the top 5% of companies rated by EcoVadis in **Financial service activities**, except insurance and pension fund industry.

- **Environment:** CACEIS is in the top **21%** of companies in Financial service activities.
- **Labour & Human Rights:** CACEIS is in the top **18%** of companies in Financial service activities.
- **Sustainable Procurement:** CACEIS is in the top **6%** of companies in Financial service activities.
- **Ethics :** CACEIS is in the top **16%** of companies in Financial service activities.

These rewards reflect **CACEIS' long-standing commitments in favour of sustainable strategies** in terms of social, environmental and governance policies towards our customers, collaborators and suppliers.

The INDR (National Institute for Sustainable Development and Corporate Social Responsibility) renewed CACEIS Luxembourg's ESR certification (Responsible Company) for the third time. At the beginning of 2020 in Germany, CACEIS was the first custodian to receive the AA notation by the rating agency **TELOS**.

CRÉDIT AGRICOLE SA GROUP COMMITMENTS

For more than 20 years, Crédit Agricole has proven its involvement through its various commitments

› SIGNATORY

- United Nations Global Compact then 2003
- Equator Principles since 2003
- Principles of Responsible Investment since 2006
- Diversity charter since 2008
- Responsible purchasing charter since 2010
- Charter for the energy efficiency of tertiary buildings since 2013
- Science Based Targets since 2016
- RE 100 since 2016
- Parentality charter since 2008
- *Principles for Responsible Banking et 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

- Call for carbon pricing at the initiative of the World Bank group in 2014
- Montreal Carbon Pledge since 2015
- Paris agreement on the climate since the end of 2015
- Task Force on Climate Disclosure since 2017
- Climate Action 100 + since 2017
- AIGCC (Asia Investor Group on Climate Change) depuis 2020

› CO-FOUNDER MEMBER

- Green Bonds Principles since 2014
- Portfolio Decarbonization Coalition since 2014
- Mainstreaming Climate Action Within Financial Institutions since 2015
- Catalytic Finance Initiative since 2015
- French Business Climate Pledge since 2015
- Association (Low carbon building) since 2015
- Finance for Tomorrow since 2017

› OTHER POSITIONS

- Statement on modern slavery since 2017

Conception /production/editing

Human Resources Division
Communications Division
CACEIS, March 2022



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INVESTOR SERVICES