

**MUFG Securities EMEA plc**  
**Slavery and Human Trafficking Statement**  
**Financial year ending 31 December 2021**

### **Introduction**

This statement sets out the steps that MUFG Securities EMEA plc (**'MUFG Securities'** or **'we'** or **'us'** or **'our'**) continue to take to ensure that modern slavery and human trafficking are not taking place in our supply chains or any other part of our business.

We continue to strive to maintain the highest professional and ethical standards and we expect the same from our suppliers. Slavery and human trafficking remain entirely contradictory to MUFG's Corporate Vision and Code of Conduct, and have no place in or around our organisation, and we are pleased to reinforce that principle through this statement.

### **Background**

The corporate structure of our organisation has not changed and MUFG Securities remains a financial institution incorporated in London. Our management team sits in London, and is responsible for ensuring that our corporate framework reflects MUFG's Corporate Vision and Code of Conduct.

This statement is published on behalf of MUFG Securities (pursuant to the UK Modern Slavery Act 2015).

### **Policies and procedures**

MUFG Securities is committed to the group's Corporate Vision and Code of Conduct, which has been enhanced and refreshed during the year to give our staff additional guidance on MUFG's expectations in relation to their conduct. During the year, all staff were provided with training on the Code of Conduct to remind them of the core principles and behavioural expectations.

The Code of Conduct requires, amongst other things, that MUFG Securities respect the human rights of all its employees, act with integrity, comply at all times with the letter and spirit of laws, regulations and rules that apply to us and combat criminal activity.

MUFG has also published a Human Rights Policy Statement which applies to the Group globally and which articulates the Group's dedication to the respect of human rights across all operations. This includes an expectation that our suppliers will avoid human rights violations.

MUFG's published Environmental and Social Policy Framework sets out MUFG's approach to managing the environmental and social risks arising from the business activities of the Group. The Framework explicitly prohibits the Group and its core subsidiaries (including MUFG Securities) from entering into any transaction involving the use of child or forced labour.

MUFG Securities continues to operate steps and measures previously identified to mitigate the risk of slavery and human trafficking in its business and supply chains, including:

- Human resources policies that aim to create a working environment that is based on core values of respect, fairness, collaboration, team work, support, trust and transparency;
- Whistleblowing and grievance procedures, through which employees can escalate any concerns relating to slavery or human trafficking; and

- Anti-bribery and anti-money laundering procedures to identify and mitigate financial crimes risks, recognising that slavery and human trafficking can be associated with bribery and precursors to money laundering activity.

### Due diligence processes

Through MUFG's Code of Conduct, internal policies (including employment and compliance) and through our corporate social responsibility activities, we ensure that we do not condone or support any forms of bullying or harassment, and we continue to be committed to embracing diversity and building an inclusive culture where all employees are valued, respected and their opinions count.

We make our employment decisions in a non-discriminatory manner in accordance with our obligations under the law, including any commitments to pay a living wage.

We seek to partner with suppliers whose ethical principles align with our own, and expect them to operate fair and ethical workplaces.

Our Know Your Supplier process monitors Country Risk which takes into account both slavery and human trafficking considerations along with other supplier risk factors.

MUFG Securities has a risk assessment process to identify and measure risks related to slavery and to inform the enhancement of controls where required.

### Training available

Regular Financial Crimes training and Code of Conduct training are provided for all staff globally. In certain instances, such as the instructor-led training rolled-out to AML investigators, a specific human trafficking module has been included. In addition, Whistleblowing policy and process are applied across all of our operations, and the Whistleblowing arrangements are clearly signposted to all staff.

MUFG Securities' senior management continues to fully recognise that slavery and human trafficking are issues of global importance and scale. Where the processes and controls we have implemented identify an unacceptable level of risk of modern slavery or human trafficking we are committed to taking action, including ending those relationships.

This statement has been approved by the Board of Directors of MUFG Securities.

Signed by



**Chris Kyle**

Chief Executive Officer

MUFG Securities EMEA plc

Date: 27 April 2022