

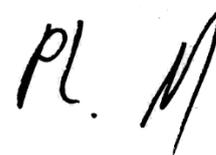
UN Global Compact: Communication on Progress

Year: 2017

Statement of continued support

RepRisk became a signatory to the United Nations Global Compact Principles in 2014. With this, RepRisk has committed itself to ensuring that the Global Compact's Principles are an integral part of our management, strategy, culture and daily operations.

We recognize that a key requirement for participation in the Global Compact is the annual submission of a Communication on Progress (COP) that describes our company's efforts to implement the Ten UN Global Compact Principles. We support public accountability and transparency, and therefore commit to report on progress within two years of joining the Global Compact, and every year thereafter according to the Global Compact COP policy. We hereby report on our commitment to and application of the UN Global Compact Principles.



Dr. Philipp Aeby
Chief Executive Officer
RepRisk AG

Contact
Alexandra Mihailescu Cichon
Head of Sales and Marketing
RepRisk AG, Stampfenbachstrasse 42, 8006 Zurich, Switzerland
Email: mihailescu@reprisk.com
Phone: +41 43 300 54 44

1. 1 Brief Description of Nature of Business

RepRisk AG was founded in 1998 as an environmental risk consultancy for banks called Ecofact AG. In 2006, the ESG risk business intelligence service RepRisk was launched. By 2010, the business intelligence service has grown to an extent that the company was renamed to RepRisk AG. Correspondingly, the consulting part could be spun off in a new company that took over the name Ecofact AG. RepRisk Philippines Inc. is registered and based as RepRisk's Asia Pacific Hub in Manila as of 2013, and a fully-owned subsidiary of RepRisk AG. In January 2016, the EMEA Hub in Berlin, Germany was established. The Americas Hub in Toronto, Canada followed in 2017.

Today, RepRisk is a research and business intelligence provider, specializing in ESG and business conduct risks based in Switzerland. RepRisk has built and continues to grow the most comprehensive ESG risk database that serves as a research, due diligence, and monitoring tool in risk management, compliance, investment management, corporate benchmarking, and supplier risk control. The RepRisk ESG Risk Platform currently includes risk profiles for over 90,000 listed and non-listed companies, and 22,000 projects as well as for every sector, and country in the world.

On a daily basis, RepRisk systematically screens big data from a broad range of media, stakeholder, and third-party sources in 15 languages in order to identify, filter, analyze, and quantify ESG risks (such as environmental degradation, human rights abuses and corruption) related to companies, projects, sectors, and countries. This external perspective provides valuable insight on whether a company's policies, processes, and commitments are consistently translating into performance.

RepRisk serves banks, insurances, asset managers, asset owners, and multinationals to proactively assess ESG issues that may present financial, reputation, and compliance risks. RepRisk's research scope encompasses 28 ESG Issues, 45 Topic Tags (ESG specific topics of interest such as Palm oil) and covers the Ten Principles of the UN Global Compact. The analysis of the information by our Operations and Research team is also done in accordance with the key international standards such as the [Universal Declaration of Human Rights](#), [ILO Conventions](#), the [UN Convention Against Corruption](#), the [Equator Principles](#), [World Bank Group Performance Standards and Environmental, Health and Safety Guidelines](#), and the [OECD Guidelines for Multinational Enterprises](#).

RepRisk provides the transparency needed to enable better, more informed decisions. Our mission is to help our clients achieve long-term success through transparency and risk management. We aspire to increase accountability across all institutions.

In our daily operations and behavior, we strive to live our corporate values:

- Operational excellence
- Superior quality

- Honesty, reliability, responsiveness
- Flexible, open workplace
- Goal-oriented teamwork
- Personal and professional growth
- Humility

All managers as well as other employees undertake to live out these fundamental values in their daily work and actively implement them in a responsible way.

Through our regularly published reports we offer valuable insight into key ESG topics in various geographies and sectors.

Since 2014, RepRisk is a signatory of the six Principles for Responsible Investment (PRI), which provide a voluntary framework for all investors to incorporate ESG issues into their decision-making and ownership practices and so better align their objectives with those of society at large. For more information, visit www.unpri.org.

RepRisk is further a member of the Sustainable Purchasing Leadership Council (SPLC), since 2014, through which we support the transition to a sustainable future through the Council's programs and community of practice which help institutional purchasers to: prioritize opportunities to influence the social, environmental and economic life cycle impacts of purchased goods and services; identify existing leadership standards and approaches that address these priorities; benchmark progress toward goals, and receive recognition for advancement. For more information, visit www.sustainablepurchasing.org.

In addition, RepRisk promotes sustainable finance through its active membership in Swiss Sustainable Finance, by informing, educating and catalyzing growth. We became members of this association in 2014. For more information, visit www.sustainablefinance.ch.

With the help of Swiss Cleantech, of which RepRisk is also a member, we can actively promote and contribute to the development of a sustainable economic policy on a local level and eventually serve as an example on an international level. Swiss Cleantech focuses on resource-efficient and low-emission economic activity among all industries. For more information, visit www.swisscleantech.ch/.

Since 2015, RepRisk's membership with [VBDO](http://www.vbdo.nl), the Dutch Association of Investors for Sustainable Development, helps to strengthen the contribution to sustainable development by institutional and private investors.

In 2016, RepRisk became a member of the Global Sourcing Council, a non-profit organization focused on sustainable, socially responsible sourcing practices. For more information, visit gscouncil.org.

2. Human Rights Principles

We are committed to respecting and protecting internationally proclaimed human rights, both within our own business and through our work with clients and partners. We strongly condemn human rights violations and will not be complicit in human rights abuses of any kind. We are committed to ensuring that we as a company, as well as our employees as individuals, respect and uphold human rights in every way.

We will not do business with companies or other bodies that do not respect and promote human rights to the same degree, unless our relationship will help to improve human rights issues.

2.1 Implementation

RepRisk fully complies with the Swiss law and all local minimum standards regarding human rights.

RepRisk provides internal company guidelines which are available anytime for all our employees and assist them in their daily operations regarding their own rights as an employee as well as with regards to their relationship with clients, partners, and external stakeholders.

Furthermore, the senior management team conducts a review of internal policies with the help of the Annual Staff Survey. All staff members are able to give feedback online and anonymously with no fear of retaliation. Where gaps in performance are found, mitigation measures are identified and a plan of action is agreed and implemented.

Our staff members have a very good understanding of human rights, particularly because of the core business activities of RepRisk, which focuses on the identification and analysis of ESG risks. In order to further clarify our expected behavior from employees, we established our own Code of Ethics, which is called "The RepRisk Way". The document sets forth our values and ethical standards to help our employees conduct their actions in line with the company's expectation on topics such as conflict of interests, intellectual property, and relation with stakeholders. The code also provides guidance on particular situations, channels of communication, and practical examples through questions and answers. Within this document, we implemented a whistleblowing system so that all staff can report on possible breaches of human rights.

As an indirect measure, through our business, we raise awareness among our clients and partners of human rights issues, and other ESG issues, and help them to identify and assess human rights risks both in their own business as well as in their extended business relationships.

2.2 Measurement of Outcomes

RepRisk has never been the subject of investigations, legal cases, ruling, fines, or other events related to human rights violations.

We further contribute through our business and our clients who we help by supporting their understanding, identification, and assessment of human rights issues.

3. Labor Principles

RepRisk is committed to supporting the elimination of all forms of forced and compulsory labor. We condemn the illegal use of unacceptable forms of child labor, and any kind of child exploitation. Equally, we strongly condemn all forms of discrimination in every aspect of human resources, i.e. hiring, training, compensation, equal employment opportunities, and decisions about promotions and advancement. We refuse to get involved with companies associated with forced or child labor, unless our relationship will help to improve such issues.

RepRisk recognizes the right of all employees to join and form trade unions for the protection of their interests, as well as the right to a collective agreement where this is desired by employees.

3.1 Implementation

RepRisk fully complies with the Swiss law and all local minimum standards regarding labor rights.

In Switzerland, the minimum age for employment is regulated by the Employment Act. RepRisk follows these regulations in all countries where RepRisk is represented and labor rights regulation and implementation are not as enhanced as in Switzerland. Additionally, our HR Handbook outlines our rules regarding working hours, holidays, and other employee related directions to ensure compliance with local and international law.

Our staff members all work for us of their own choosing and are all of legal age. Fair and just remuneration is given to all our staff members and we strongly reject any form of discrimination against staff members, including comparable pay for comparable work. Further, we respect different working styles and make an effort to create a comfortable working environment.

We undertake knowledge-building on labor rights for our employees as an ongoing process that takes place through working with relevant international standards such as the ILO Convention, the OECD Guidelines for Multinationals, and the Equator Principles, but also through research for the work we do in our core business.

Our three global offices work hard to execute daily work with integrity and respect, and we all work closely with one another to ensure employees are finding the proper work balance and achieving fulfillment through their roles. We also look to empower all employees to grow within their roles and take on new challenges, providing training and support when needed. To monitor and ensure this, we

regularly engage with our employees through personal meetings, feedback sessions, and the Annual Staff Survey.

Through our business, we raise awareness among our clients and partners of labor issues, and other ESG issues, and help them to identify and assess labor-related risks both in their own business as well as in their extended business relationships.

3.2 Measurement of Outcomes

RepRisk has never been the subject of investigations, legal cases, ruling, fines, or other labor-related issues. By engaging with our employees on a regular basis, we are able to evaluate our performance in terms of labor principles.

We further contribute through our business and our clients who we help by supporting their understanding, identification, and assessment of labor rights issues.

4. Environmental Principles

RepRisk considers environmental protection as an issue of great importance. While the direct impact of our business operations on the environment is limited, we are committed to reduce negative impacts wherever they appear. Moreover, we are dedicated to using our business relationships to further promote the protection of the environment and sustainable business practices.

4.1 Implementation

RepRisk fully complies with the Swiss law and all local minimum standards regarding rights protecting the environment.

Regarding the implementation of environmental principles, we rely on the sense of responsibility of our employees. We strive to reduce our consumption of water, energy, paper, and other resources as well as reducing waste and supporting recycling. Our staff members have a very good understanding of environmental issues, particularly because of the core business activities of RepRisk which focuses on the identification and analysis of ESG risks. For further improvement, we have developed a corporate Environmental Policy.

Through our business, we raise awareness among our clients and partners of a variety of environmental issues, and other ESG issues, and help them to identify and assess environmental risks both in their own business as well as in their extended business relationships.

4.2 Measurement of Outcomes

RepRisk has never been the subject of investigations, legal cases, rulings, fines or other events related to environmental issues.

We further contribute through our business and our clients who we help by supporting their understanding, identification, and assessment of environmental risks.

5. Anti-Corruption Principles

RepRisk does not tolerate any form of corruption, including extortion and bribery by management and any employee, and strictly enforces compliance with national law on these issues. Our business by its nature has a low risk of corruption.

5.1 Implementation

RepRisk fully complies with the Swiss law and all local minimum standards regarding the prohibition of corrupt practices.

Compliance with Swiss law aligns with our anti-corruption principles and ensures that we respect the relevant national legislation and standards that further reinforce our books, records, and internal control requirements under the law of Switzerland. We take anti-corruption principles into account in our daily operations. During the establishment of our office in Manila, we decided not to get the electricity infrastructure certificated by the Philippine Economic Zone Authority (PEZA) due to a potential bribery association. In order to further clarify our expected behavior from employees, we developed our own Code of Ethics, which contains guidance on anti-competitive principles, as well as some practical examples through questions and answers.

RepRisk further promotes anti-corruption principles throughout its clients and partners by building awareness of the reputational risk inherent in any such actions that are in breach of these principles. We strongly believe that corruption harms the economy and is counterproductive to our mission of transparency and accountability.

5.2 Measurement of Outcomes

To date there have been no reported instances of corrupt practice related to RepRisk's operations and business.

We further contribute through our business and our clients who we help by supporting their understanding, identification, and assessment of corruption-related risk incidents.