



CAPUTO, BASTOS E SERRA
ADVOGADOS

COMMUNICATION ON PROGRESS

UNITED NATIONS GLOBAL COMPACT

2021

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1. INTRODUCTION

We are pleased to affirm our commitment to the Ten Principles of the United Nations Global Compact in the areas of Human Rights, Labor, Environment and Anti-corruption.

In our first Communication on Progress, we described the actions taken in 2021 to integrate the principles into our business model, daily activities, and corporate culture, as well as established goals to improve these practices in 2022.

We also announce our effort to share this commitment and its results on our primary channels of communication.

Yours sincerely,

Fernanda Toscano Dantas

Managing Director



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2. CAPUTO, BASTOS E SERRA

Caputo, Bastos e Serra is a Brazilian law firm founded in 2010 by partners Gustavo Caputo and Francisco Caputo. Its official headquarter is located in Brasília, with branches in São Paulo and Recife.

The firm provides high-level legal services to national and international clients in several areas of public and private law, with a predominant role in Judicial Litigation and Business Advisory. Big companies are your specialty and main clients.

Caputo, Bastos e Serra also has a strong presence in consultancy and Administrative Litigation, especially at the National Council of Justice, the Administrative Council of Economic Defense, Regulatory Agencies, Ministries and Courts of Accounts.

In addition to tradition and professional ethics, our clients have a multidisciplinary team of dedicated and talented professionals who work with all the expertise and necessary agility for each type of demand in the search for assertive and personalized decision making.

In 2021, the firm joined the UN Global Compact to share its commitment to the Ten Principles of the United Nations and to improve its policies and positions regarding Human Rights, Labor, Environment and Anticorruption.



3. HUMAN RIGHTS

3.1. Assessment, policy and goals

Our institutional policy reinforces the commitment to provide safe and secure workplace, to ensure the safety and well-being of our personnel and protection against any type of harassment.

In 2021, we created specific committees to develop projects and actions to reduce inequalities, such as the Social Committee, which perform philanthropic activities, and the Women, Diversity, and Inclusion Committee, responsible for proposing measures to create a diverse, accessible, and inclusive work environment.

Our goals to 2022 are the expansion of our ongoing philanthropic activities and the adherence to the NOSSO Project (Nós Somos Solidários), a program that funds complementary education for low-income students and other expenses, such as transportation, food supplies and study materials.

3.2. Implementation

To implement this commitment, the Firm has taken the following measures:

- i. Creation of a Code of Conduct
- ii. Creation of the Social Committee
- iii. Creation of the Women, Diversity and Inclusion Committee
- iv. Implementation of the optional home office regime to ensure the health and safety of our personnel considering the Covid-19 pandemic
- v. Support of projects regarding the reduction of gender inequality and initiatives to end the violence against women
- vi. Participation on the worldwide campaign for the “Activism for the End of Violence against Women”
- vii. Equal gender composition of the firm’s Strategic Council



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3.3. Measurement of Outcomes

The actions taken by Caputo, Bastos e Serra resulted on the promotion of women to leadership positions. About 42% of women of our staff are currently on leadership roles, such as the managing direction and teams and committees' coordination.

As for violation of Human Rights principles' control, reports are investigated by the Compliance Officer and the Strategic Council, whose membership is independent and diverse.

4. LABOR

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4.1. Assessment, policy and goals

Caputo, Bastos e Serra Advogados aims to perform the best practices regarding labor relations, ensuring the well-being of its personnel and a safe, secure and healthy environment. We strictly adhere to national and international quality rules and standards.

Our policies are clear about the commitment and severity against all forms of discrimination, harassment and other violations.

In 2021, we continued to offer our professionals the opportunity of remote work, to improve well-being. For their convenience, the firm has traded board computers to notebooks, in order to facilitate the transportation and storage, and provided comfortable armchairs and other supplies.

Also, we started to develop a Career Plan, which shall contemplate clear rules for career development and fair payment conditions compatible with market practices. The implementation of the plan is scheduled to take place in the first semester of 2022.

4.2. Implementation

To implement this commitment, the firm adopted the following actions:

- i. Development of the Career Plan, with implementation scheduled to 2022
- ii. Promotion of employees to decision-making positions, based on conditions of profile, merit and gender equality
- iii. Lectures on labor harassment prevention and good labor practices
- iv. Development of the Excellence Program, which shall be designed to train interns, trainees and young graduates
- v. Professional qualification of our team, providing courses and training sessions



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- vi. Implementation of the remote work, with proper work materials

4.3. Measurement of Outcomes

The promotion of significative members of our team to decision-making positions and the professional qualification of the personnel is a result of the actions taken in 2021 regarding this matter. Remote work opportunity brought more motivation and life quality for employees.



5. ENVIRONMENT

5.1. Assessment, policy and goals

Protecting the environment is a main concern of Caputo, Bastos e Serra. To reaffirm the commitment to produce less waste, we have invested on the computerizing of procedures and activities to reduce and, in the future, eliminate the use of paper fillings. The waste and residues generated due to our activities are sorted and correctly disposed.

In 2021, the firm created the Sustainability Committee, in order to deepen our knowledge and discussions, optimize the use of natural resources and reassure the commitment to environment preservation actions. We developed awareness campaigns about environmental security, sustainability and conservation of natural resources and shared relevant information on our main channels of communication.

5.2. Implementation

To implement this commitment, the firm has adopted the following actions:

- i. Reduction of environmental impacts
- ii. Efficient and correct disposal of waste and residues
- iii. Creation of the Sustainability Committee
- iv. Awareness campaigns about environment preservation
- v. Digitalization of files and archives (document scanning)

5.3 Measurement of Outcomes

The replacement of electronic equipment to modern appliances and the digitalization of our files resulted on the reduction of electric power consumption as well as paper and waste.



6. ANTICORRUPTION

6.1. Assessment, policy and goals

Caputo, Bastos e Serra maintain anticorruption posture and cherish for ethics and transparency. This commitment reflects on institutional policies and contracts, which contains compliance and anticorruption clauses.

In 2021, we developed a compliance plan in order to endorse the ethical commitment to anticorruption standards. We also founded Administrative Council, whose membership is diverse and independent, guaranteeing more transparency and neutrality on decision making.

Our goal to 2022 is to refine the compliance policy and to promote campaigns and lectures on anticorruption practices.

6.2. Implementation

To implement this commitment, we adopted the following measures:

- i. Creation of the Compliance Plan
- ii. Inclusion of compliance and anticorruption clause in contracts
- iii. Creation of Administrative Council with independent and diverse composition
- iv. Reinforcing of moral and ethical posture and equity and transparency to our stakeholders

6.3. Measurement of Outcomes

Our accountability and activities are evaluated by external and independent audit. We cherish for clients that adopt anticorruption practices. The firm has never been involved in any reports of fraud, corruption or other illegal activities.